DOCUMENT RESUME

ED 060 540 EA 004 103

AUTHOR Castetter, William B.; Heisler, Richard S.

TITLE Appraising and Improving the Performance of School Administrative Personnel.

INSTITUTION Pennsylvania Univ., Philadelphia. Graduate School of Education.

PUB DATE 71

NOTE 82p.

AVAILABLE FROM The Center for Field Studies, Graduate School of Education, University of Pennsylvania, Philadelphia, Pennsylvania 19104 ($5.00)

EDRS PRICE MF-$0.65 HC Not Available from EDRS.

DESCRIPTORS Administrative Personnel; Administrator Characteristics; *Administrator Evaluation; *Administrator Qualifications; Administrator Responsibility; *Board of Education Policy; Boards of Education; *Educational Accountability; *Evaluation Methods; Guidelines; Performance Criteria; Planning

ABSTRACT

This monograph deals with the appraisal and improvement of school administrative personnel performance. It attempts to help the reader understand what performance appraisal is, why it is essential in school organization administration, how an appraisal system functions, and how it can be made to work more effectively. In order to achieve these aims, the report integrates new concepts of performance appraisal from various streams of administrative thought with well established knowledge about administrative processes such as planning, organizing, leading and controlling. Observations from the behavioral sciences as well as from industrial management have been linked to those in educational administration and presented in the form of utilitarian propositions with the expectation that they will be of benefit to the practitioner. (Author)

ED 060540

APPRAISING AND IMPROVING THE PERFORMANCE OF SCHOOL ADMINISTRATIVE PERSONNEL

U.S. DEPARTMENT OF HEALTH,
EDUCATION & WELFARE
OFFICE OF EDUCATION
THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL OFFICE OF EDUCATION POSITION OR POLICY.

by

William B. Castetter
Richard S. Heisler

Center for Field Studies
Graduate School of Education
University of Pennsylvania

EA 004 103

Copyright © 1971 by

Center for Field Studies
Graduate School of Education
University of Pennsylvania

"PERMISSION TO REPRODUCE THIS COPYRIGHTED MATERIAL BY MICROFICHE ONLY HAS BEEN GRANTED BY
Dr. William B. Castetter
TO ERIC AND ORGANIZATIONS OPERATING UNDER AGREEMENTS WITH THE U.S. OFFICE OF EDUCATION. FURTHER REPRODUCTION OUTSIDE THE ERIC SYSTEM REQUIRES PERMISSION OF THE COPYRIGHT OWNER."

Library of Congress
Catalog Card Number: 78-183108

TABLE OF CONTENTS

		Page
Preface		v
Section 1:	Personnel Performance Appraisal: Retrospect and Prospect	1
Section 2:	Basic Premises Underlying the Performance Appraisal of School Administrative Personnel	15
Section 3:	Planning the Performance Appraisal System for School Administrative Personnel	23
Section 4:	Designing the Performance Appraisal Process for School Administrative Personnel	37
Section 5:	Controlling the Performance Appraisal System for School Administrative Personnel	65
Section 6:	Selected References	79

PREFACE

Is it possible that the performance of school administrators cannot be evaluated? This question is not a particularly inviting one for school officials to ponder, especially in view of the mounting organizational problems with which schools are increasingly confronted, Time was when school systems could ignore or pay lip service to the assumption that administrative behavior, because of the doubtful impact it was assumed to have on organizational achievement, needed to be assessed systematically. No longer; the people who run modern school systems are being pressed to demonstrate what returns citizens are getting for their tax dollars. They are being asked whether administrators are worth what they are being paid. Rightly or wrongly, public school client satisfaction is not what it ought to be.

This monograph adheres to the premise that performance appraisal is an inevitable function of every organization. A corollary of this premise is that the performance appraisal of administrative personnel must be systematized if it is to be useful.

Emphasized throughout the text is the concept that planning is the life blood of a modern school system. Consequently, the idea is advanced that there are many types of plans needed to maintain and improve the performance of administrative personnel; these include purposes, goals, objectives, policies, programs, processes, and procedures. All of these, it is stressed, comprise the foundation of the performance appraisal system.

This monograph also takes the long view, that is, that a school system needs to think ahead in terms of quarters and years rather than days and weeks, in order to develop carefully thought out long-run plans for securing and improving the kind of administrative team the system needs to achieve its purposes.

Let us make no mistake about the complexity of the task of appraising and improving administrative behavior, for it is intended to effect changes in adult human beings, an undertaking universally acknowledged to be difficult. There is no quick, easy way to develop a system of performance appraisal acceptable to those to whom it will be applied. Plans will not readily produce instant results. Nevertheless, we have seen progress in other areas of personnel administration where we once would not have expected it. Similarly, perhaps yet in our time, we will be willing to discard obsolescent ideas about judging administrators by means of a numerical scale and think more seriously about how organizational growth can be accomplished through individual development.

William B. Castetter
Richard S. Heisler

SECTION 1

PERSONNEL PERFORMANCE APPRAISAL: RETROSPECT AND PROSPECT

Introduction

This monograph deals with the appraisal and improvement of the performance of school administrative personnel. Its general purpose is to help the reader to understand what performance appraisal is, why it is essential in the administration of a school organization, how an appraisal system functions, and how it can be made to work more effectively. In order to achieve the foregoing aims it has been necessary to integrate new concepts of performance appraisal from various streams of administrative thought with well-established knowledge about the administrative processes, including planning, organizing, leading, and controlling. Some of the traditional ideas about appraising the performance of school administrative personnel have been refined. Observations from the behavioral sciences as well as from industrial management have been linked to those in educational administration and presented in the form of utilitarian propositions with the expectation that they will be of benefit to the practitioner.

The present chapter deals first with performance appraisal in historical perspective in order to illustrate the impermanence of organizational solutions to the problem of appraising the performance of human beings. Then it examines major forces impelling changes in school organizations and the appraisal systems which they employ. Following this discussion the relationship between performance appraisal and educational administration is brought into focus. Finally, attention is devoted to changing concepts of personnel performance appraisal. This approach is designed to emphasize the organizational and human significance of performance appraisal, the forces, factors, and conditions which are at work to modify various facets of the process, and to show how this task fits into the larger problem of understanding and coping with human problems in an organizational setting.

Performance Appraisal in Historical Perspective

Performance appraisal may be defined as the process of arriving at judgments about the past or present performance and future potential of a subordinate to an organization against the background of his total work environment. It is an administrative activity designed to assist personnel to achieve individual as well as organizational expectations.

It has long been an accepted proposition that the appraisal of human performance is an activity essential to the well-being of society. Performance appraisal is commonplace in everyday living. A professional baseball player's ability is judged by his batting average; a quarterback on a football team by the number of pass completions. Salesmen are paid on the basis of the products or services they sell; the performance of television actors and presidents assessed by opinion polls; the success of lunar missions by accomplishment. In short, few people escape in a lifetime the process of having their vocational performance judged.

The growth of formal organizations and recognition of their critical importance to a complex society has brought about the need for formal and systematic approaches to performance appraisal. In the first several decades of the twentieth century, criticism of casual, haphazard, unsystematic, highly personalized, and esoteric plans for judging the worth of individuals to organizations brought about a wide variety of efforts to reform performance appraisal plans. These include federal and state civil service legislation governing the rating of personnel, such as the Federal Civil Service Classification Act of 1923, the Taft-Hartley Labor Act of 1947, the more recent Fair Labor Standards Act of 1963, and the Civil Rights Act of 1964. The quest for ways of eliminating favoritism, seniority, and inequitable treatment from compensation plans led to a multitude of rating programs within and outside of government organizations. These plans are referred to as traditional approaches[1] to performance appraisal. The traditional plans, for the most part, were psychologically oriented, and consisted of appraisals of personality traits or preconceived characteristics that were deemed essential to the role an individual performed in the organization.

Traditional Appraisal Systems

Traditional or conventional appraisal systems embrace a wide variety of approaches, including ranking, man-to-man comparison, grading, graphic scales, check lists, forced-choice methods, and critical incident techniques. In the field of education, a host of traditional techniques were and still are employed to appraise the professional performance of school personnel. These include self-rating, ratings by pupils, school administrators, supervisors, colleagues, special committees, outside professionals, lay citizens. Some plans based appraisal on the character of instruction, personal characteristics, cumulative personnel record information, changes in pupil behavior, and written responses (questionnaires and examinations).

Weaknesses in the traditional appraisal systems, after nearly a half-century of experience, appeared to be legion. Criticisms include the following:

- Appraisals are focused upon personality of an individual rather than upon what he is expected to do, or upon results achieved.
- Moreover, most administrators are not qualified to assess the personality of an individual.
- Appraisal tools lack validity.
- Raters display biases.
- Ratings and raters are subject to organizational influence.
- The appraisal system does not apply to all personnel.
- Results of appraisal are not utilized to assist individual development.
- Appraisees are fragmented into personality parts, which, when added together, do not reflect the whole person.
- Appraisal devices do not provide administrators with effective counseling tools.

[1] Terminology used to describe traditional appraisal plans include merit rating, efficiency rating, employee rating.

- Most plans do not establish organizational expectations for individuals occupying specific positions.
- Appraisals are arbitrary or unjust when used for discipline, salary increases, promotion, or dismissal.
- Personnel do not understand criteria against which their performance is appraised.
- Performance is not evaluated in terms of its contribution to enterprise goals.
- Traditional appraisal procedures hamper effective communication between appraiser and appraisee. Heavy reliance by appraiser on feelings instead of facts generates defensive behavior on part of appraisee.
- Appraisal methodology does not provide an environment conducive to change in individual behavior.
- Appraisal methodology does not encourage satisfaction of higher level needs of individuals, such as self-expression, creativity, and individualism.

Most traditional performance appraisal plans in the first half of the twentieth century have been devoted to nonadministrative personnel. Their primary purpose seems to have been to link the organizational value of an individual's effort to the size of his paycheck. The paucity of plans for appraising administrative personnel in the field of education was noted in a 1968 report by the Education Research Service.[2] According to the report, only 45 plans, some quite informal, were finally identified in 1964 after a two-year search. By 1968, however, the report indicates a growing trend toward evaluating administrative personnel in education.

Modern Approaches to Performance Appraisal

Beginning in the mid-1950's, and gathering numbers ever more rapidly thereafter, a groundswell of opposition developed toward traditional appraisal systems. Focus of the criticism was on the judgmental role of the superior and the failure of the traditional system to motivate individuals toward either personal or organizational goals. Consequently, a new approach to performance appraisal developed and has been referred to variously as the behavioral appraoch to appraisal, modern approach to appraisal, management by results, and management by objectives. The essential features of the modern or behavioral approach to appraisal are summarized in the following selected axioms advanced by Lopez:

- Establishing the real value of an employee's contribution to the cooperative effort of the organization is an integral part of the act of managing.

---

[2] National Education Association, American Association of School Administrators, and Research Division, *Evaluating Administrative Performance*, Educational Research Circular No. 7, 1968 (Washington, D.C.: The Association, 1968), 1.

- The process of establishing the real value of the employee's contribution consists of two distinct but complex activities: day-to-day appraisal of his actions, and periodic formal evaluation of his performance of his duties.
- The main object of establishing the real value of an employee's contributions is to improve his performance of his current job duties.
- Other effects, such as the acquisition of information on which to base salary and promotion decisions and the personal development of the employee's capacities, should accompany the main effect of improved job performance, but these are in reality only by-products of the products of the process.
- The nature and the extent of the communication between supervisor and supervised concerning the . . . evaluation constitutes the core of the process.
- The evaluation communication is two-way because when a supervisor evaluates his subordinate, in essence, he evaluates his own ability as a manager.
- The evaluation of a subordinate and the subsequent communication of the evaluation to the subordinate represent difficult skills that are acquired only by careful instruction and constant practice.
- The particular techniques and procedures employed to evaluate employee performance are, in themselves, incidental and will depend upon the setting, the purpose of the evaluation, and the communications desired.
- To be effective and accepted, both those who use it and those who will be judged by it, must participate in the design, installation, administration, and review of an employee performance evaluation program.
- No employee performance evaluation program can ever be considered complete and perfect.
- The basic values underlying the entire evaluation effort must be individual excellence and organization self-renewal.[3]

The evolution of the management by objectives system, according to Howell,[4] has gone through three stages:

Stage	Time Period	Focus of Management by Objectives System
1	Late 1950's and early 60's	Performance appraisal
2	Mid 1960's	Integration of individual goals of administrators and those of the organization
3	1970's	Long-range objectives and action plans to make them a reality

[3] Felix M. Lopez, *Evaluating Employee Performance* (Chicago, Ill.: Public Personnel Association, 1968), 285-286.

[4] Robert A. Howell, "Managing by Objectives – A Three-Stage System," *Business Horizons* (February, 1970), 41-45.

The essence of the point of view expressed by Howell is that performance appraisal is an integral component of a three-stage system whose evolution requires 4-5 years. In brief, performance appraisal is not an end in itself; it is part of a broader system designed to link the objectives of unit administrators with those of the total organization.

A review of the history of performance appraisal within and outside of school systems leads to the following observations:

- For more than half a century organizations have been experimenting with performance appraisal of various types. From this experience about the only consensus that has developed is that performance appraisal is not a matter of choice. It is an essential and continuing activity in the life of an enterprise. The methodology employed to conduct the performance appraisal, however, remains a matter about which diverse viewpoints prevail.
- Increasingly, performance appraisal is being considered as a means of personnel development. Performance appraisal is not something an administrator does *to* but *for* a subordinate.
- Many appraisal systems have been ineffective because of a low level of systematization. Failure to link appraisal procedures to organizational purposes, to unit objectives, and to position goals has created considerable personnel dissatisfaction with results of performance appraisal.
- In the second half of this century a resurgence of interest in performance appraisal has become apparent, especially in the direction of developing total appraisal systems to include all personnel in an enterprise, so as to integrate the objectives of administrators with those of the organization and its long-term goals. Some of the forces behind the resurging interest in performance appraisal are discussed in the text following.
- The fact of organization is as old as man. The theory of organization is modern. The practice of formal appraisal of administrative performance, as well as theory on which it is based, is contemporary.[5]

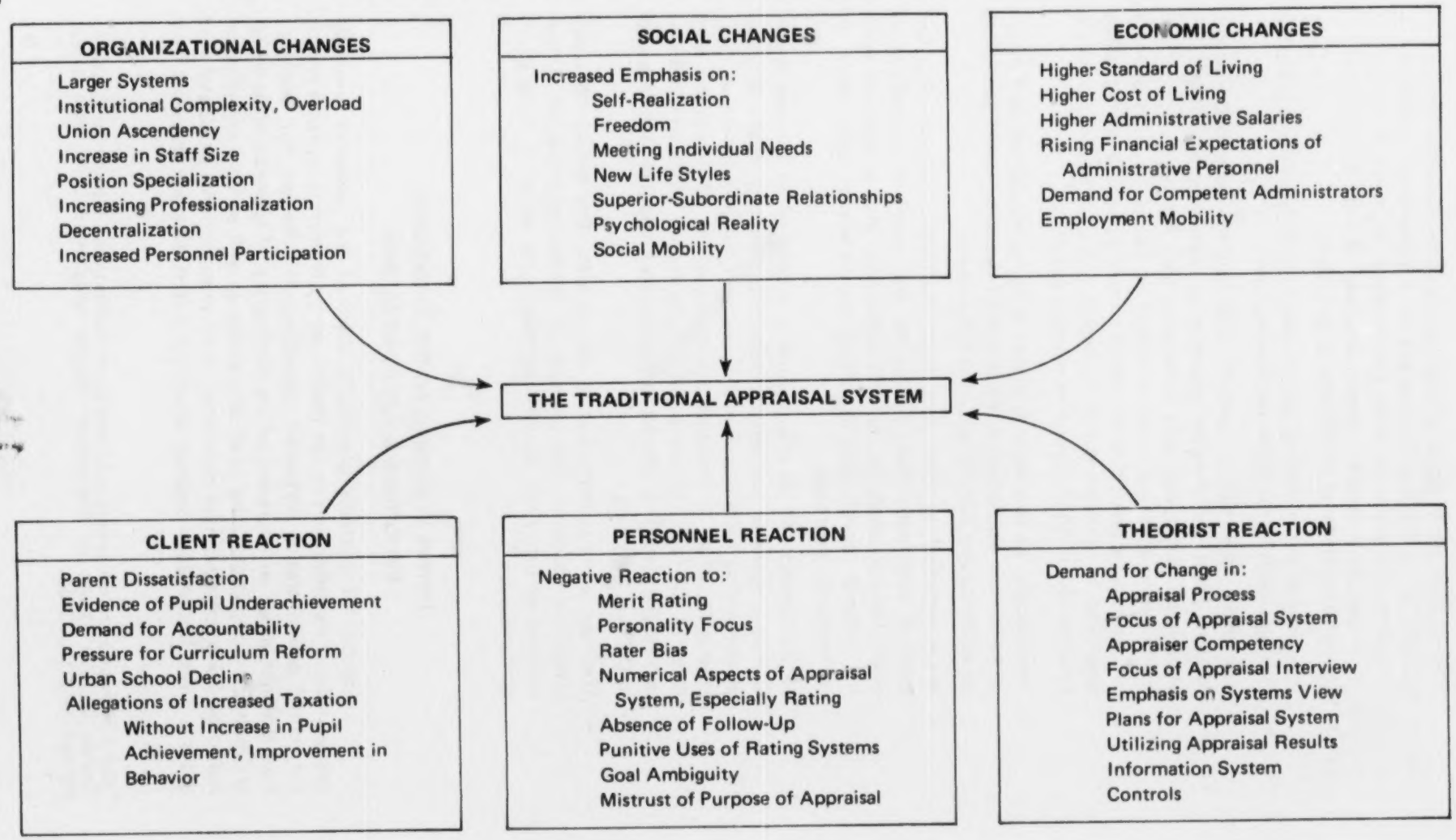
Forces Impinging on the Traditional Performance Appraisal System

Exhibit 1.1 portrays graphically some of the pressures currently bringing about modifications in the traditional performance appraisal system for school administrative personnel. *Organizational changes,* for example, have brought about an awareness of the inadequacy of appraisal plans which are divorced from subordinate need satisfaction as well as from organization purposes. *Social changes* have convinced many organizational personnel that there is a vast discrepancy between what appraisal systems are and what they

---

[5] For a description of the evolution of streams of administrative thought see Claude S. George, Jr., *The History of Management Thought* (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1968).

Exhibit 1.1. Interacting Forces Impinging on the Traditional Personnel Performance Appraisal System



ought to be. To many, the traditional appraisal system is dehumanizing, an organizational barrier to self-realization and to the development of a career in which the experiences one realizes on the job are meaningful and satisfying. *Economic changes* have increased administrative salaries to a level more nearly in keeping with the responsibilities with which these positions are charged. With this rising affluence has come the demand from the electorate for administrators to perform effectively in its behalf. *Client reaction* to school systems has been heard across the nation, expressed by the term "accountability." While the word accountability means different things to different people, one of its implications is that schools today are not functioning as outstandingly effective delivery systems in terms of their major purposes. Clients are demanding better schools, and school officials are seeking better appraisal systems to assist them in the process of motivating administrative personnel to consistently higher levels of performance.[6]

Personnel reaction to traditional performance appraisal systems is strong in its contention that a host of administrative barbarities have been perpetrated upon them in the name of appraisal. The catalogue of alleged dysfunctions is a long one, ranging from organizational failure to identify its expectations for administrative personnel to a total disregard for the application of appraisal results to the improvement of personnel performance. *Theorist reaction* to the traditional appraisal system has been responsible for a variety of concepts from the behavioral scientists, including the deemphasis on quantitative approaches to appraising subordinate behaviors. Mutual goal setting, counseling, progress review, integration of individual and organizational goals, and need satisfaction of staff members are but a few of the contributions of theorists to performance appraisal to which modern organizations are heir. Let us turn our attention now to an examination of the relationship of performance appraisal to educational administration.

Relationship Between Performance Appraisal and Educational Administration

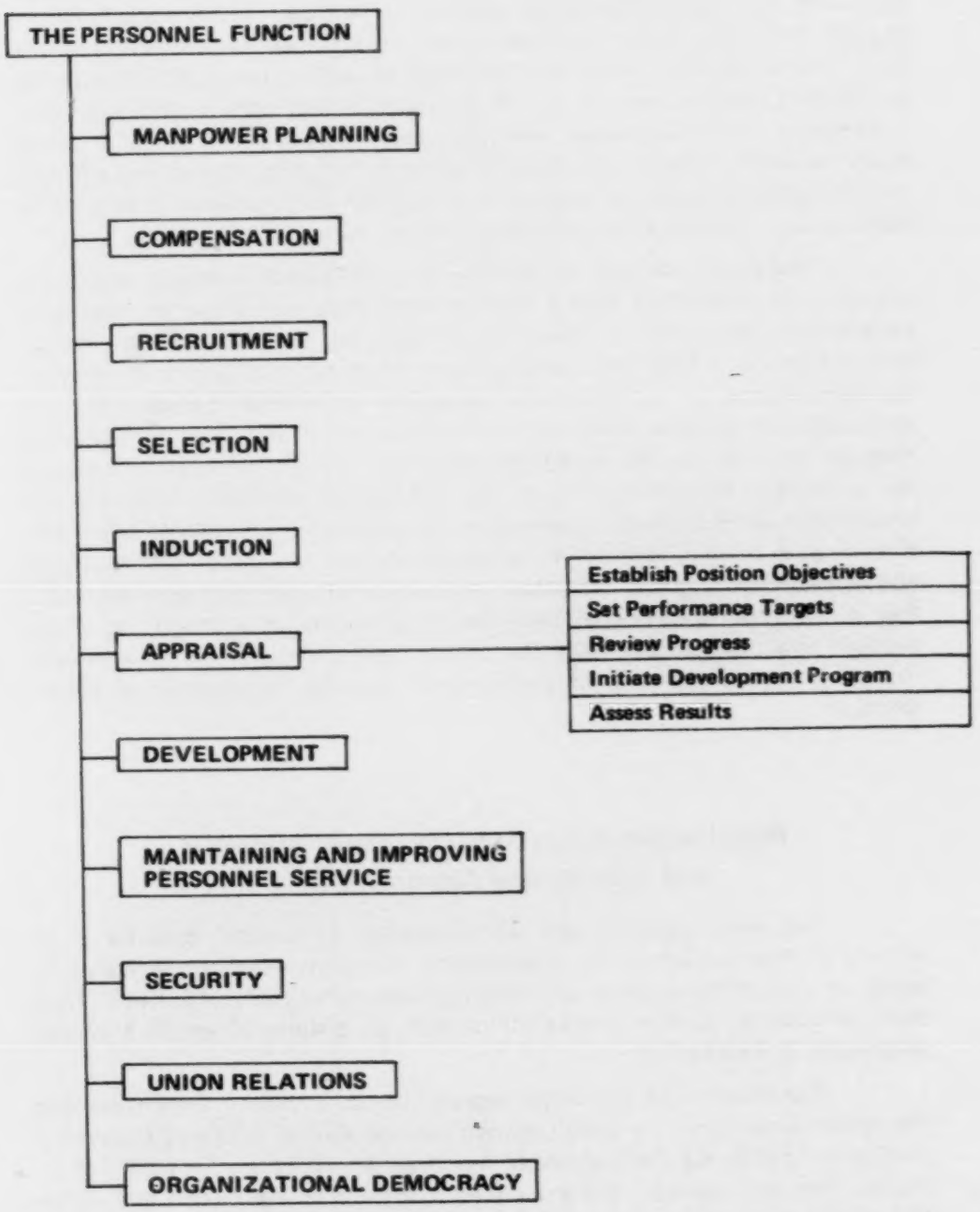
The understanding and administration of human behavior is an activity of high import in any organization. In recent years the activities relating to the administration of human resources, viewed collectively, have been referred to as the personnel function, an outline of which is shown graphically in Exhibit 1.2.

Examination of the model represented by Exhibit 1.2 indicates that the appraisal activity in a school system may be viewed as one of the several processes comprising the *personnel function.* In addition, Exhibit 1.2 indicates that the appraisal process consists of subprocesses which are indicative of the work to be performed in order to achieve the goals of this component of the personnel function.

---

[6] For a variety of viewpoints on accountability see *Phi Delta Kappan,* LII, No. 4 (December, 1970), entire issue. See also Leon Lessinger, *Every Kid A Winner: Accountability in Education* (Palo Alto, California: Science Research Associates, College Division), 1970.

Exhibit 1.2. Model Depicting Processes and Performance Appraisal Subprocess Comprising the Personnel Function



Considered in this way, the appraisal process may be thought of as one of a network of operating processes, each of which is interrelated and interdependent. This is to say that the appraisal process is a component of other processes comprising the personnel function. This observation can be illustrated by examination of the following activities upon which the appraisal process is focused:

- Place the individual in the system where he can realize his own objectives and contribute effectively to those of the organization.
- Motivate personnel toward achieving personal and system goals.
- Improve performance.
- Uncover abilities.
- Ascertain the potential of the individual to perform various types of tasks.
- Encourage self-development.
- Point up continuing education needs.
- Provide a guide for salary determination.
- Facilitate mutual understanding between superior and subordinate.
- Transfer, demote, promote, or dismiss personnel.
- Determine whether organization should retain individual as permanent member.
- Test the validity of recruitment and selection processes.

It is plain from an examination of the foregoing activities that the appraisal process has interconnections with other personnel processes. Manpower planning, for example, which determines the number and types of positions and defines the role of each position in the organization, is prerequisite to performance appraisal. The information derived from the recruitment and selection processes are vital to appraisal and development processes. The compensation process cannot be carried out effectively unless it is supported by judgments derived from appraisal of individuals. The fairness of the compensation process is also linked to the process of organizational democracy, which provides for grievance machinery. The development and self-realization of individual members of the administrative staff cannot be planned carefully without the information which is derived from the appraisal process. In brief, the impact of an effective appraisal system, including its interconnections with other processes of the personnel function, would be to make these things happen to both the organization and to the individual administrator:

- Enable every administrator to know what he is expected to do and to understand the results he is expected to achieve in performing the work related to his position.
- Communicate to every administrator the performance standards which have been established for the position he holds.

- Develop appraisal methodology to determine how well administrators are achieving position goals and unit objectives.
- Inform each administrator as to how well he is actually performing the work to which he is assigned.
- Familiarize appraisers with the appraisal system and how to utilize it effectively in making judgments about the performance and development of subordinates.
- Provide administrators with opportunities to grow in directions that will satisfy individual and school system needs.

The reader is, of course, correct if he observes that the relationship between the appraisal process and educational administration is a strong one. His reasoning is also rationally grounded if he concludes that only through a systems approach can one understand organization as a system of mutually dependent variables. As a matter of fact, the appraisal process may be viewed as an interface where several personnel processes come together and provide vital information for organizational maintenance and renewal.

Changing Concepts of Personnel Performance Appraisal

Human Problems and Organizational Humanism

One of the striking facts about twentieth century organizations is an acceleration in the quest for new ways of meeting human problems brought on by an affluent, space-age society. Exhibit 1.3 brings into focus major human problems facing organizations and new twentieth century conditions upon which their resolution will be partially contingent. Examination of the human problems of organizations shown in Exhibit 1.3 suggests that more effective performance appraisal systems are one of the essential components in bringing about changes in the conditions noted.

The conditions with which contemporary appraisal systems will have to cope may be inferred from the fundamental change which, according to Bennis, has occurred in the past decade in the basic philosophy which underlies managerial behavior, reflected most of all in the following three areas:

- A new concept of *man,* based on increased knowledge of his complex and shifting needs, which replaces the oversimplified, innocent push-button idea of man.
- A new concept of *power,* based on collaboration and reason, which replaces a model of power based on coercion and fear.
- A new concept of *organizational values,* based on humanistic-democratic ideals, which replaces the depersonalized mechanistic value system of bureaucracy.[7]

[7]William G. Scott, ed., *Organization Concepts and Analysis* (Belmont, California: Dickinson Publishing Co., 1969), 148.

Exhibit 1.3. Human Problems Confronting Contemporary Organizations

	Problem	Bureaucratic Solutions	New Twentieth Century Conditions
Integration	The problem of how to integrate individual needs and management goals.	No solution because of no problem. Individual vastly oversimplified, regarded as passive instrument or disregarded.	Emergence of human sciences and understanding of man's complexity. Rising aspirations. Humanistic-democratic ethos.
Social Influence	The problem of the distribution of power and sources of power and authority.	An explicit reliance on legal-rational power but an implicit usage of coercive power. In any case, a confused, ambiguous, shifting complex of competence, coercion, and legal code.	Separation of management from ownership. Rise of trade unions and general education. Negative and unintended effects of authoritarian rule.
Collaboration	The problem of managing and resolving conflicts.	The "rule of hierarchy" to resolve conflicts between ranks and the "rule of coordination" to resolve conflict between horizontal groups. "Loyalty."	Specialization and professionalization and increased need for interdependence. Leadership too complex for one-man rule or omniscience.
Adaptation	The problem of responding appropriately to changes induced by the environment of the firm.	Environment stable, simple, and predictable; tasks routine. Adapting to change occurs in haphazard and adventitious ways. Unanticipated consequences abound.	External environment of firm more "turbulent". Less predictable. Unprecedented rate of technological change.
"Revitalization"	The problem of growth and decay.	?	Rapid changes in technologies, tasks, manpower, norms and values of society, and goals of enterprise and society will all make constant attention to the processes of the firm and revision imperative.

Source: Warren G. Bennis, "Changing Organizations," in William S. Scott, ed., *Organization Concepts and Analysis* (Belmont, Calif.: Dickinson Publishing Co., 1969), 149.

As we examine the implications of Exhibit 1.3 for the development of a personnel appraisal system, some interesting inferences emerge. Among the foremost of these is the fact that twentieth century conditions require constant attention to the problem of organizational survival and renewal. Central to these tasks are the assumptions organizations make about the personnel in their employ. The beliefs which school systems hold of the nature of man, the relationships which should prevail between the individual and the organization, and the approaches employed to resolve human problems in organizations will affect the extent to which their aims are achieved. Another inference which may be made from Exhibit 1.3 is that the assumptions an organization makes about the nature of man will be reflected in the kind of personnel appraisal system which prevails. As the text following indicates, one of the significant developments in the twentieth century is organizational humanism, a vision of organizational life in which human interests, values, and dignity predominate. The essence of an appraisal system is its assumptions about the nature of man. The emergence of performance appraisal concepts embracing human perfectability, superior-subordinate goal setting, recognition of individual as well as organizational aims, bilateral use of power, and fulfillment through self-determination are illustrative of the relationship between assumptions about the nature of man and performance appraisal.

Contemporary Model of Administrative Performance Appraisal

Exhibit 1.4 has been included to bring into clearer perspective the contrast between traditional and contemporary models of administrative personnel performance appraisal, as well as to focus upon the potential of an appraisal system to contribute to the aims of organizational humanism. What Exhibit 1.4 makes evident is that considerable recasting of performance appraisal systems is taking place. The new performance appraisal model calls for integrating individual needs and organizational goals, for self-education and self-development of administrative personnel, for the establishment of an organizational aims structure and a family of plans on which the appraisal system will be based, for emphasis upon results rather than upon the symbols which for so long have been considered to be tantamount to accomplishment.

What is clear as we end this section is the increasing awareness of the necessity for change in performance appraisal systems for administrative personnel. The latter-day school administrator, with all of the intelligence, education, and organizational know-how that the term implies, will not tolerate a performance appraisal system which inhibits personal freedom, self-development, creativity, and organizational democracy. The organization, on the other hand, if it is to survive in the twentieth century, must make adaptations which will enable personnel to join with it to realize the ends for which it has been established.

These reflections lead to a more detailed consideration of the premises or assumptions on which a contemporary performance appraisal system for administrative personnel should be based. This is the intent of Section 2, which follows.

Exhibit 1.4. Characteristics of Traditional and Contemporary Models of Administrative Personnel Performance Appraisal

TRADITIONAL VIEW	CONTEMPORARY VIEW
Organizational Value: Performance appraisal of little value to organization because it is inherently subjective and biased. Limited to classified personnel.	Performance appraisal an integral feature of administration. Applies to each member of school system.
Purposes: How do we achieve organization purposes?	How do we achieve individual and organization purposes?
Integration: Focus on rating. Relationship of appraisal system to organization purposes ignored.	Focus on integrating individual needs and organization goals through performance appraisal.
Planning: Absence of comprehensive plans for performance appraisal.	Basis of performance appraisal system is comprehensive planning structure, including organization purposes, policies, position guides, programs, procedures.
Focus on short-range purposes.	Focus on short and long-range purposes of school system.
Performance appraisal viewed as isolated activity unrelated to other components of system.	Performance appraisal viewed as integral component of total system.
Methodology: Emphasis on task performance.	Emphasis on goal achievement.
Emphasis on symbols of administrative accomplishment.	Emphasis on results.
Emphasis on short-term training programs for administrators.	Emphasizes long-term growth process, self-education, self-development.
Appraisal trait-oriented.	Appraisal to determine progress toward mutually planned goals; personality of appraisee not sole focus of performance appraisal.
Superior sets tasks; subordinate participation discouraged.	Superior subordinate agree on specific objectives.
Subordinate not encouraged to engage in self-examination.	Subordinate encouraged to express thoughts and feelings about his work, progress, future.
Personnel must be supervised closely.	Supervision is appraisee centered, supportive.
Annual or biennial appraisal.	Continuous appraisal and progress review.
Heavy reliance on quantitative approach to appraisal.	Less emphasis on mathematical approach; quality of results stressed.
Centralized control of performance appraisal process.	Superior-subordinate develop details of appraisal process.
Little organizational interest in instructing appraisers in appraisal methodology.	Clarifying and promoting understanding of appraisal system an integral feature of continuing education.
Appraiser style rigid; focus on conformity.	Appraiser style flexible; focus on appraisee self-realization.
Minimum communication between appraiser and appraisee.	Maximum communication, utilizing variety of channels.
Cooperation secured through power derived from organizational hierarchy.	Voluntary cooperation of subordinates accorded considerable significance.
Control: Little organization interest evinced in feedback relating to performance appraisal.	Effectiveness of appraisal system and each of its components constantly monitored through reports upward, various communications, conferences, problem probing.
Focus on compensation.	Focus on self-development.

SECTION 2

BASIC PREMISES UNDERLYING THE PERFORMANCE APPRAISAL OF SCHOOL ADMINISTRATIVE PERSONNEL

One of the first questions an organization faces in building an appraisal system is the assumptions on which it will be planned, administered, and controlled. In effect, to develop a set of premises about an appraisal system is to set forth what the organization's beliefs or convictions are concerning the appraisal of personnel. These premises form the basis upon which reasoning proceeds relative to what the organization believes the appraisal system should accomplish, and how it should be organized and administered to attain such expectations.

It is the intent of this section to advance a set of premises about the development of a performance appraisal system for school administrative personnel. These assumptions will then be employed in subsequent sections to develop guides for planning the appraisal *system*, the appraisal *process,* and the *control network* to ensure the maintenance and improvement of the appraisal system.

1. The beliefs an organization holds about the nature of man have considerable impact on the design of the appraisal system. It has been said that the appraisal system of every organization reflects the views and values of its designers concerning the nature of man. Exhibit 2.1 has been included to examine this hypothesis in greater detail. The substance of the concepts illustrated in Exhibit 2.1 is that in order of historical appearance, four organizational assumptions about the nature of man include: (a) rational-economic man; (b) social man; (c) self-actualizing man; and (d) complex man. Adherence to any one of these assumptions about the nature of man implies a somewhat different managerial strategy aimed at achieving results through people.

Suppose we dwell briefly on the question, "What impact will the assumptions an organization holds about human behavior have on its appraisal system?" The answer must be "considerable." Organizations control the methods by which on-the-job needs of its members are satisfied. Moreover, many of the human needs of members depend for satisfaction on the nature of the appraisal system. The purposes of appraisal, the formulation of procedures, the personnel appraised, the appraisers and appraisees, the frequency of appraisal, and the appraisal instruments are based upon assumptions about the nature of man held by the organization. Judgments made on the basis of the appraisal process determine whether people are rewarded, punished, developed, promoted, dismissed, transferred; whether they find satisfaction or dissatisfaction in their assignments; and determine the presence or absence of the mixture of dependence and independence their personalities need for self-fulfillment. In brief, the beliefs administrators hold concerning the nature of man and human behavior determine to a large extent the treatment people receive in a school system, the satisfactions they derive from working in it, and the opportunities they are given to achieve self-realization. These beliefs determine not only the nature of plans and procedures developed to achieve

Exhibit 2.1. Organizational Assumptions About the Nature of Man in Order of Historical Appearance

PHILOSOPHICAL POSITION	CHARACTERISTICS OF ASSUMPTIONS	MANAGERIAL STRATEGY
Rational-Economic Man	Man is primarily motivated by economic incentives and will do that which gets him the greatest economic gain. Man is essentially a passive agent to be manipulated. Man's feelings are essentially irrational. Organization must be designed to centralize and control man's feelings.	Burdens for organizational performance fall entirely on management. Employees expected to do no more than the incentive and control systems encourage and allow.
Social Man	Man is basically motivated by social needs and obtains his basic sense of identity through relationships with others. Man is more responsive to social forces of the peer group than to incentives and controls of management. Man is responsive to management to the extent that a superior can meet a subordinate's social needs and needs for acceptance.	A manager should not limit his attention to the task to be performed, but should give more attention to the needs of the people who are working with him.
Self-Actualizing Man	Man seeks to mature on the job and is capable of being so. This means the exercise of a certain amount of autonomy and independence, adoption of a long-range time perspective, development of special capacities and skills, greater flexibility in adapting to circumstances.	Manager is concerned with being considerate to employees; more concerned about how to make their work intrinsically more challenging and meaningful.
Complex Man	Man is not only complex, but also highly variable. He has many motives which are arranged in some sort of hierarchy of importance to him, but this hierarchy is subject to change from time to time and situation to situation. Man can respond to many different kinds of managerial strategies, depending upon his own motives and abilities and the nature of the task. There is no one correct managerial strategy that will work for all men at all times.	The successful manager must be a good diagnostician and must value a spirit of inquiry.

Source: Adapted from Edgar H. Schein, *Organizational Psychology* (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1964), 47-65.

the aims of the system, but the extent to which members of the system respond to achievement of its aims in the form of loyalty, cooperation, and effort.

One point is clear as we close this brief analysis of the relationship between organizational assumptions about the nature of man and an appraisal system. The kinds of experiences staff members enjoy or suffer in a school system are usually those denied or permitted by leadership. This contention has force when applied to an appraisal system. The appraisal system will be vastly different in an organization whose ideological core is one built around the *nature of man* rather than around the *nature of the organization.* It will differ in the organization which believes in sharing power with rather than denying it to its members. It will be different in the organization which stresses self-development of personnel rather than the total dependency of the individual on the organization. It will be different in the organization where the subordinate, rather than being told what to do, is allowed to decide, within the limits of the assignment and the ground rules of the organization, how best to achieve results. Thus, appraisal systems and their impact on people will differ, depending upon the assumptions held by those in authority about the nature of man.

2. The effectiveness of a performance appraisal system in an organization is dependent upon and influenced by sound structural prerequisites. The quest for improved performance appraisal systems has had a long and checkered history. In this evolutionary process we have learned that one of the erroneous assumptions made by many organizations is that one component of an appraisal system, a rating or judgmental procedure, is an effective substitute for a comprehensive appraisal system. Consequently, the streets of organizational history are littered with abandoned components which were construed as total appraisal systems.

Like all myths, the notion that an appraisal procedure exists independent of other organizational systems and subsystems has a kernel of truth in it. The truth is that an appraisal process is supremely important, it is the core of the appraisal system. But is cannot exist in isolation. It has various structural prerequisites on which it depends and from which it derives its rationality. While the nature of these structural prerequisites will be examined in detail in Section 3, it is worth observing at this point that performance appraisal is an important and interdependent activity in a complex social system.

But this single component cannot produce desired results by itself. It must be backed up by structural prerequisites which are conducive to this purpose. These prerequisites include system-wide purposes, policies, unit purposes, and position guides, all of which must be integrated with the appraisal system. This system operates within a structure - a structure of organization, plans, and controls. Without these structural prerequisites we cannot expect an appraisal system to do what it is expected to do.

3. A performance appraisal system properly designed, has considerable potential for achieving an integration of individual and organizational interests. The basic mission of educational systems is to deliver effective services to clients in order to satisfy both the needs of the individual and those of society. Personnel employed in educational systems have certain

expectations of the organization. These include a given amount of pay for a given amount of work, participation in organizational decisions affecting the conditions under which they work, machinery for adjustment of grievances, strong leadership, opportunity for self-realization, position and personal security, the right to be heard, to fair treatment, and to administrative rationality.

Organizational expectations include member acceptance of the hierarchy of authority, the concept of superior-subordinate relationships, and the authority system, including rules, regulations, procedures, controls, and ritual. Acceptance of these expectations by members is considered essential by the organization if it is to accomplish its mission. Quite frequently, the expectations of the individual and those of the organization come into conflict.

The performance appraisal system, with its humanistic potential, is a forceful mechanism for achieving an integration of the interests of both parties. The concepts which it embraces, including mutual goal setting, flexibility in position performance, occupational mobility, self-development, and work creativity are conducive to the development of personal attachment of the individual to the organization and to securing voluntary cooperation in achieving his position goals as well as the long-range mission of the system.

4. Advancing the self-development of personnel is the primary mission of the performance appraisal system. Development refers to activities undertaken by both the individual and the organizaton to improve personnel performance from initial employment to retirement. It is aimed at satisfying two kinds of expectations - the contribution required of the individual by the school system and the material and emotional rewards anticipated in return by the individual.

Within the past several decades a profound conceptual shift has taken place with regard to the function of an appraisal system. The trend toward management by results has shifted the focus of the system from its traditional role of determining the size of a man's paycheck to facilitating his on-the-job performance. This change in the values and outlook of organizations regarding the central concern of the appraisal system should not be interpreted to mean that performance appraisal and compensation are unrelated. Rather, this new development involves a deliberate attempt to stretch the potentialities of the appraisal system beyond compensation concerns; to improve the affinity of the individual and the organization in their quest to satisfy mutual expectations.

What is unfolding in efforts to improve performance appraisal systems is a steady climb toward organizational humanism. Appraisal processes are being designed for such purposes as creating opportunities for and encouraging the self-development of members; finding opportunities to release energies of individuals for application to more challenging and complex problems relating to their position or to the organization as a whole; and developing proficiency of individual administrators to nurture individualism within organizational constraints.

From what we can foretell about the contemporary direction of performance appraisal in organizations, and the structural alterations which it

implies, much greater emphasis will be placed in the future upon the use of appraisal systems to facilitate the development of personnel if for no other reason than to capitalize on this force to bring about a convergence of human and organizational goals.

5. The appraisal process is the core of the appraisal system. By definition, the appraisal process, which is the central component of an appraisal system, means a series of sequential and interdependent steps by which judgments are reached on how well individuals perform roles in a school system to which they have been assigned. While this process will be subjected to detailed analysis in Section 4, it is necessary to make the observation at this point that the performance appraisal process, as it applies to an individual member of a school system, is cyclical in that it is repeated again and again during his employment history. The information derived from it will be used for a variety of personnel decisions, including position compatability, counseling, compensation, tenure, performance improvement, promotion, transfer, and termination. Indeed, as the list of applications of information derived from performance appraisal is considered, one cannot fail to be impressed by the feelings appraisees have about organizational plans which have considerable weight in determining their organizational destiny, as well as contributing considerably to the satisfaction of their on-and-off-the-job needs. One can understand readily why appraisees come to view the appraisal system with suspicion, mistrust, and misgivings. The appraisal process is not reality oriented which ignores the psychological fact that the nature of man impels him constantly to work toward meeting his psychological needs, wishes, and personal aspirations. The extent to which every component of the appraisal process takes this fact into account will determine how well it succeeds in self-motivation of personnel. Thus the organizational task of designing an appraisal process to help personnel understand their needs, assessing whether and to what extent they can be met in the organization, and determining how these needs can contribute to the satisfaction of organizational expectations, is a large one. The planning of each stage of the appraisal process, as well as linking of the several stages, becomes a critical task.

6. The quality of the superior-subordinate relationship influences to a considerable extent the effectiveness of the performance appraisal process. The basic act of performance appraisal occurs between two people. Although information about the performance of an appraisee may be derived from several sources, this premise holds that the central responsibility for results in any organizational position rests with the subordinate and his superior. This is to say that the act of performance appraisal is a continuing emotional experience between appraiser and appraisee. In it two people are attempting to establish a man-organizational fit. They need to develop and maintain an emotional climate within which can be identified what the appraisee wants to accomplish for himself and for his position; what the appraiser wants to realize for himself, for his position, and for the organization.

One implication of the foregoing premise is that the relationship between superior and subordinate must be emotionally attractive. The appraiser views the process of performance appraisal as one in which he attempts to secure from the subordinate a self-motivated commitment to perform

effectively. The appraisee perceives it as a continuing opportunity to reveiw his thoughts and feelings about himself in relation to his work; to discuss openly his psychological and occupational needs with someone who can help him meet them.

Another implication of the quality of superior-subordinate relationship is that the latter is a component of the former's ability to perform his role effectively. Consequently, the superior will view his subordinate in terms of the extent to which he contributes to this end.

A third implication of the quality of the superior-subordinate relationship is that the day-to-day behavior of administrators vitally affects the performance of subordinates. The following questions are illustrative of the day-to-day events which fashion the quality of the relationship under consideration.

How does the administrator respond to day-in-day-out requests for assistance from subordinates?

To what extent does he render intellectual and emotional support to his subordinates?

Does he perceive clearly the prime task in performance appraisal of understanding subordinates' needs, assessing what the organization can do to meet these needs, and orienting the subordinate about the needs of the organization and what he can do to help achieve them?

Does he permit latitude to subordinates in performing their roles?

Does he encourage subordinates to participate in setting position goals, content, performance standards, and plans for achieving them?

Does he exhibit integrity in performance appraisal?

Is he motivated to help others to help themselves?

In simple language, it is the quality of the relationship between superior and subordinate which makes an organization run. Without a relationship which is emotionally attractive, psychologically and occupationally gratifying, the support plans which we have been describing earlier as essential to the performance appraisal system are of little avail.

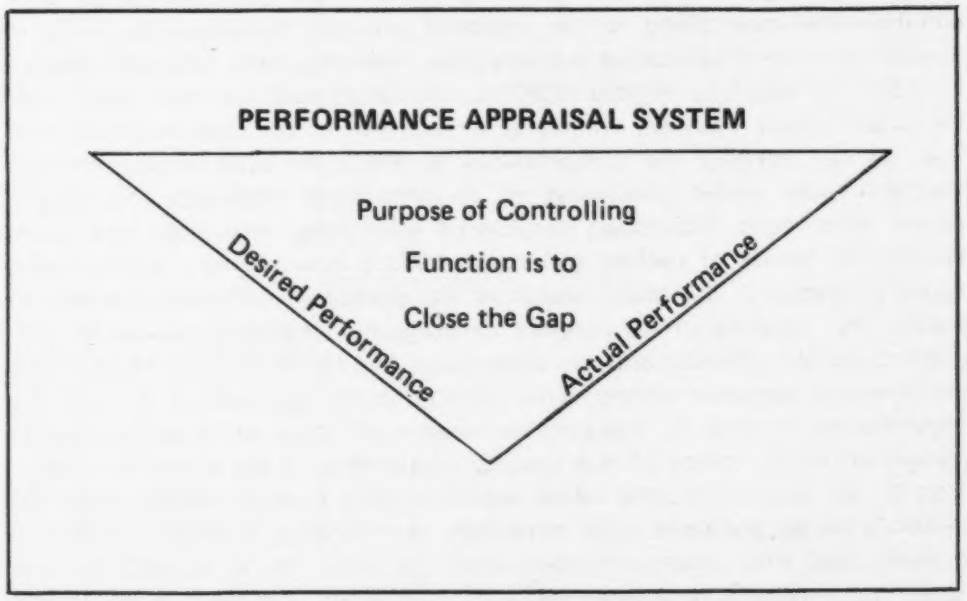
7. Effectiveness of the performance appraisal system in an organization depends upon plans for the selection and development of competent administrative personnel. In the premises advanced thus far about the performance appraisal system in an educational organization, the point has been made consistently that the act of assessing personnel is an inherent and complex administrative function. It has been observed also that most administrators will be responsible for directing and judging the performance of certain subordinates. In order to carry out this task effectively the administrator must possess a variety of conceptual, human,

and technical skills. These skills, for the most part, must be developed. This is especially true of the knowledge, habits, and attitudes which each administrator must bring to the appraisal process. Consequently, what is needed in every organization are resources - human, fiscal, and conceptual - to make the appraisal system effective. In *human resources* this means that the organization must be willing to attract and retain administrators who have or can develop the competencies to direct the type of performance appraisal plan under consideration. In *conceptual resources* the organization must have individuals capable of generating, initiating, and maintaining the family of central and support plans essential to a performance appraisal system . *Financial resources* are needed in sufficient amount to enable the organization to conduct an on-going continuing education program to enable administrators to understand and to achieve the intent of the performance appraisal system. This developmental approach is the one the organization employs to integrate its views with those of its administrative personnel on the nature of man and its relationship to the appraisal process. This is the training ground where administrators develop insights into the system's broad purposes, unit objectives, performance standards, appraisal systems, and their interconnections and how they can be brought to bear upon the motivational commitments of individuals on behalf of themselves and the organization. Economic investment in a performance appraisal training program is made on the assumption that administrators will become change agents capable of helping subordinates to improve their position behavior.

8. Maintenance and improvement of the appraisal system is achieved in organizations by effective application of the controlling function. The appraisal system, like any other component of the educational operation - plans, programs, personnel, plant, funds - is a means for attainment of purpose. Each has a goal subsidiary to, but essential in, realization of the purposes of the school system. Hence, each element in the school system should be appraised continually in terms of (a) its operational effectiveness, and (b) its contribution to the larger aims of the enterprise.

The process by which plans and actions are appraised organizationally is referred to as controlling. This process, along with other processes such as planning, organizing, and leading, comprise the major activities of administration. The controlling process, as illustrated in Exhibit 2.2, is concerned with determining how well or the extent to which performance conforms to plan. Theoretically, the administrative process is completed when controlling has been accomplished. When the deviation between plans and performance is determined, corrective or remedial action taken to help the organization and its personnel on course, one planning cycle ends and another begins. With reference to Exhibit 2.2, the controlling function purposes to close the gap between desired and actual expectations. In reality, the two lines never meet, because it is only in Utopia that the appraisal system achieves perfection.

Exhibit 2.2 Relationship of Controlling Function to Performance Appraisal



The foregoing premises, then, form a conceptual framework for the resolution of the human problems in school organizations through the performance appraisal system. The appraisal problems are old ones, ever new, which may be summed up as perennial institutional failure to motivate members to carry on their work effectively. The premises of a sound performance appraisal system are the shining visions of which all organization planners dream — linking individual and organizational effort, whereby both the needs of one and the expectations of the other are satisfied.

In the section which follows we shall take up the first step toward solving the problems of an appraisal system by examining the kinds of plans and planning which are essential to the endeavor.

SECTION 3

PLANNING THE PERFORMANCE APPRAISAL SYSTEM FOR SCHOOL ADMINISTRATIVE PERSONNEL

Planning and Organization Renewal

It is characteristic of our time that organizations of all types are subject to criticism, internal dissension, instability, conflict and the demand for change. Educational institutions are no exception to the present state of organizational instability. The perceptions of the modern public school system summarized in Exhibit 3.1 cannot be judged as wholly inaccurate. The disequilibrium with which school systems are afflicted grows out of a powerful interplay of social change, including economic imbalance, rising expectations of people, erosion of moral standards, and considerable dissatisfaction among people with all levels of government. So powerful are the forces, factors, and conditions affecting the stability of educational institutions that the need by organizations for self-examination and renewal is clearly evident. If school systems are to remain viable and relevant to the society which they serve, the necessity is at hand for engaging in a process of reexamining their purposes, plans, programs, procedures, structures, and technology.

Exhibit 3.1.
Image of Educational Institutions

It is downright astonishing, when one pauses for a long breath, to reflect on the changes that have taken place in attitudes toward our school system totally, from elementary education through the graduate schools.

Only distant thunder

Fifteen or 20 years ago, If I am not mistaken, there seldom was heard a disparaging word. To be sure, there were faint rumbles of controversy over the teaching of reading, but this was distant thunder. Once in a while a dyspeptic editor complained of "frills." At the college level, one denounced fraternity hazing and muttered at the high cost of campus construction.

That was about the size of it. Otherwise we so-called molders and shapers of public opinion were whooping it up for the schools – for higher teacher salaries, for bigger bond issues, for better libraries, for decent pay for professors. We glorified the image of Mr. Chips and Miss Dove, and when a college president died, we sent him off to the angels with columns of praise.

What has happened to this happy state of affairs? A point has been reached at which the very mention of "public schools" causes some taxpayers to salivate like Pavlov's dogs. The image is of inner-city school, with a dozen windows broken and a cop on duty outside. Within the classrooms, we envision chaos – brought

This section is concerned with the manner in which a school system goes about the business of planning its performance appraisal system; how it copes with the problems in performance appraisal, and hopefully in doing so, achieves greater organizational maturity.

Meaning of Planning and Performance Appraisal System

The term *planning* as used herein is defined simply as a method of thinking out purposes or acts beforehand. The act of planning can be illustrated by reference to some of the problems in developing the performance appraisal system, such as:

- For what purposes will the appraisal system be designed?

on by new floods of permissiveness in which all discipline has drowned. When the pupils are not clobbering each other, they are stabbing the teachers.

An unfair image

Today's image postulates a school in which little or nothing of value is really taught. Students are promoted and finally graduated without having mastered elementary skills of reading, writing and spelling. The textbooks, it is widely supposed, are mere instruments of liberal propaganda. The typical public school teacher is seen as a hot-eyed militant, striking for higher pay and less work.

The colleges—but everyone knows about the colleges: Their faculties are composed of Commies, radiclibs, and great names who are too busy moonlighting to bother with classroom teaching. The doped-up students are all barefooted, beaded and bearded. When they are not blowing up buildings, they are writing dirty papers.

Source: James J. Kilpatrick, "Good School, Good Teacher Deserve More Recognition," *Philadelphia Evening Bulletin* (March 13, 1971) 13-7.

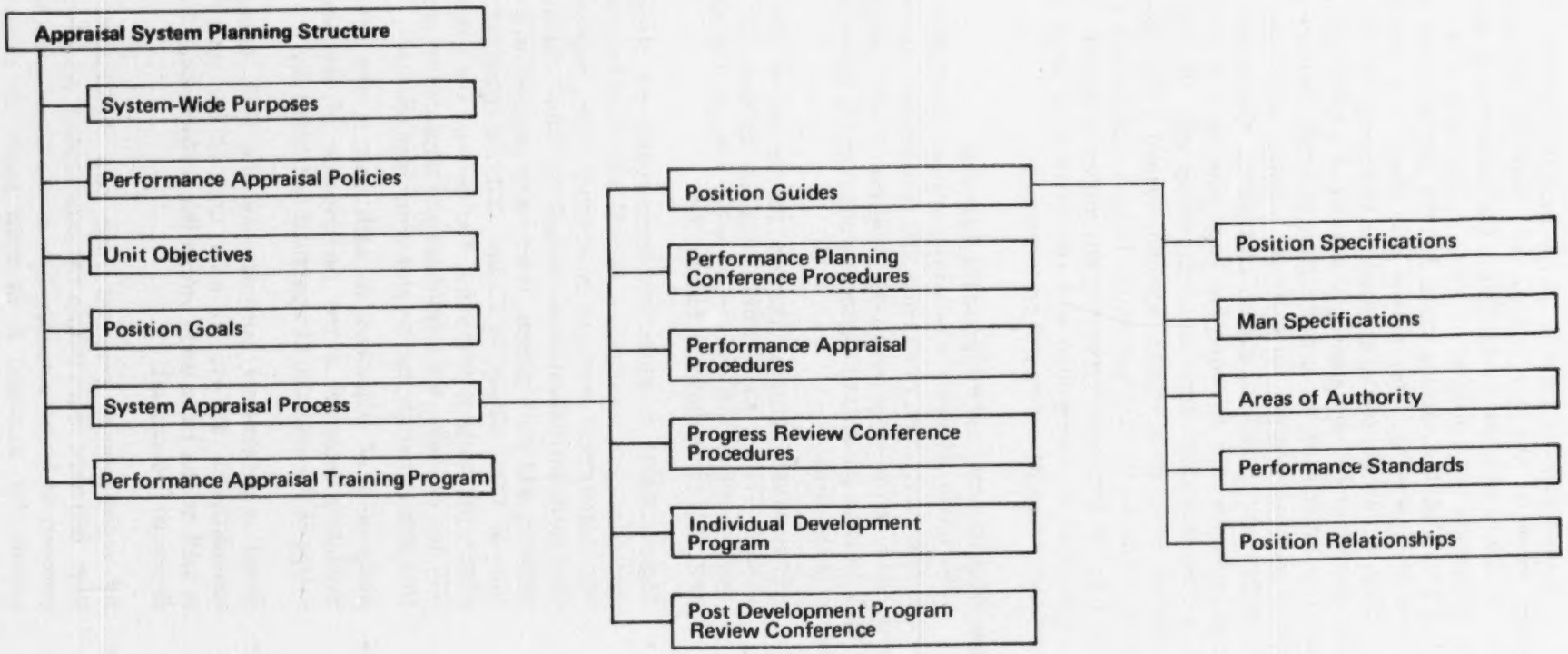
- Who will be involved in the appraisal process?
- If the performance of every individual in the school system is to be appraised, how can the appraisal system be adapted to varying types of people, positions, and purposes?
- What methodology will be used to appraise personnel?
- How frequently will appraisal be made?
- Who will train the appraisers?
- What will be done to ensure the validity of the appraisal process?
- How will the results of appraisal be used?
- What type of information system is needed to collect, store, and retrieve information relating to individual performance appraisal?
- How will the appraisal process be linked to other personnel processes?

The foregoing questions indicate the nature and scope of planning decisions relating to the performance appraisal system. Also apparent from an analysis of the questions is that performance appraisal planning covers a wide range of activities, all the way from determining what is to be done to clarifying who does what and when. In effect, a *performance appraisal system* is an arrangement for linking together and coordinating a series of plans which are designed to resolve questions such as the foregoing.

Appraisal System Planning Structure

After a school system decides what results it wants the performance appraisal system to accomplish, a planning structure is needed. This means that executives responsible for planning the system must be able to recognize the different types of plans at their disposal, and which are most appropriate to achieve the results they seek. As a matter of fact, it is useful to consider the various types of plans employed in performance appraisal as a planning to achieve the results they seek. As a matter of fact, it is useful to consider the various types of plans employed in performance appraisal as a planning structure, or an arrangement of the several component plans into an orderly relationship. Exhibit 3.2 has been included to illustrate an appraisal system planning structure.

Exhibit 3.2. Types of Plans Needed to Develop and Maintain Performance Appraisal System for School Administrative Personnel



Examination of Exhibit 3.2 indicates that various types of plans and subplans comprise the appraisal system planning *structure.* We have, in effect, a family of plans whose major branches include *purposes, policies, goals, processes,* and *programs.* What is also clear from analysis of Exhibit 3.2 is that the various plans for the performance appraisal system fall into an hierarchy. This means that there is a successively detailed set of plans within the planning structure, beginning with the broad *purposes* of the school system and leading to a series of subordinate plans which are designed to implement the broader plan of which they are a part. The performance appraisal *process*, for example, is comprised of a series of detailed plans within plans, such as *guides, procedures, conferences, specifications, areas* of *authority,* and *relationships.* Each plan has a set or sets of subplans; each is interdependent upon and interrelated with all other plans. This is the essence of a performance appraisal system which emerges from the planning structure. In the text which follows explanations and illustrations will be given of the major types of plans shown in Exhibit 3.2. In addition, the importance of intergrating and coordinating all plans comprising the performance appraisal system will be considered.

System-Wide Purposes and Performance Appraisal

The broad purposes of a school system, illustrated in Exhibit 3.3, provide a means by which to examine the relationship between system-wide purposes and performance appraisal. Analysis of the general purposes in Exhibit 3.3 makes possible the following observations about their importance performance appraisal:

- System-wide purposes provide the source of all organizational action. The primary tasks listed in Exhibit 3.3, for example, make possible the division of work into an educational program such as the one shown in Exhibit 3.4.

- Organizational purposes and subpurposes are structured into an hierarchy. For example, a typical school system can be divided into hierarchical levels of descending order, beginning within the central administration down through individual schools, departments, sections, and work groups. The broader purposes of a school system, such as those shown in Exhibit 3.3, are redefined for each level within the purpose hierarchy. The primary tasks shown in Exhibit 3.3, for example, are subdivided and allocated to pre-kindergarten, elementary, middle, junior, and senior high schools.

- Assignment of objectives to each unit in the school system is absolutely essential if the performance of the administrator in charge of the unit is to be appraised systematically.

- Broad organizational purposes are the ends toward which all administrative activity in each unit of the system is directed, as well as the basis upon which the performance of administrative personnel is appraised.

- All organizational purposes have two dimensions — time and level. Different levels within the organization are allocated different elements of broad purposes. One of the broad purposes of a school system, for example, is to assist pupils to acquire intellectual

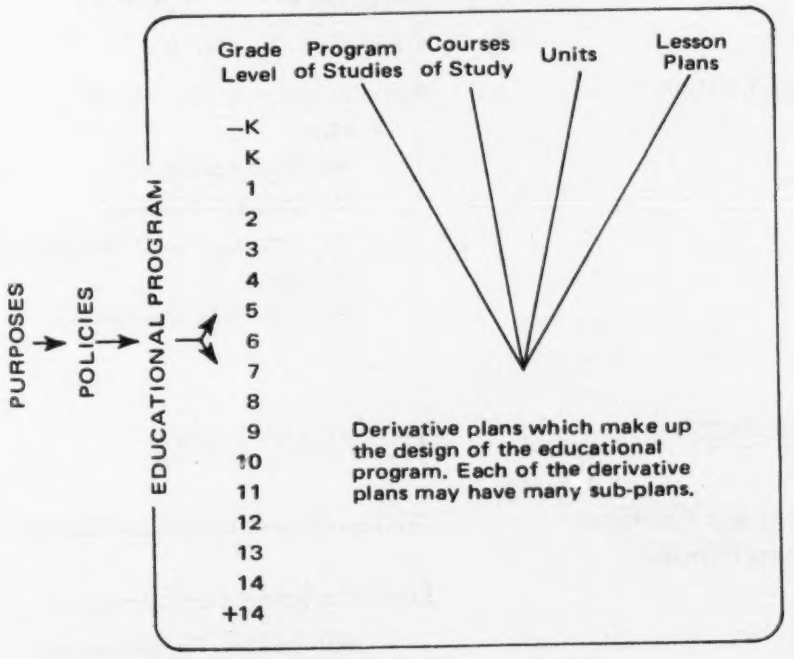
Exhibit 3.3. Illustration of Broad Purposes of a School System

Home and Educative Community	**The Public School**
PRIMARY TASKS	*PRIMARY TASKS*
Physical Health	Intellectual Skills
Emotional Stability	Creativity and Discrimination — Habit of Applying Facts and Imagination
Moral Integrity	Desire for Knowledge
Aesthetic Appreciation	Fund of Information About - Man - His Physical World - His Cultural Heritage - His Ancestors and Neighbors - His Work - His Civic Responsibilities
SECONDARY TASK	*SECONDARY TASKS*
To Supplement and Reinforce the School in its Primary Tasks	To Supplement Home and Community by: Fostering Social Competence in - Man-to-Man Relationships - Civic Responsibilities - Patriotism Providing an Environment for Personal Well-Being in - Physical Health - Emotional Stability - Moral Integrity - Aesthetic Appreciation

Source: Lawrence W. Downey, *The Task of Public Education* (Chicago: Midwest Administration Center, 1958), 22.

skills. Each level (elementary, secondary) within the system is assigned objectives to achieve within this broad purpose. The time dimension refers to the period of time within which the purpose or subpurpose is to be accomplished. Learning to read at a particular grade level is a more immediate though an intrinsic part of the longer-range purpose of developing intellectual skills. The higher the organization level, the more is its concern for attainment of long-term purposes. Lower levels of the organization, such as the individual classroom, are concerned with more immediate goals.[1]

Exhibit 3.4. Illustration of Hierarchy of Education Plans Which Derive From System-Wide Purposes



Thus, it is evident that a performance appraisal system has its genesis in the broad purposes of the organization. It would be futile to try to judge the results achieved by an elementary principal, for example, if the expectations which the organization has for his unit are ambiguous or unstated.

---

[1] For an extended discussion of organizational purposes, see Herbert G. Hicks, *The Management of Organizations* (New York: McGraw-Hill Book Company, 1968), 51-70.

Policies and the Performance Appraisal System

Initiation and maintenance of a performance appraisal system requires a variety of plans in addition to system-wide purposes. One of the principal plans to guide organizations in carrying out broad purposes is policy, an illustration of which is given in Exhibit 3.5. Let us consider how the policy illustrated in Exhibit 3.5 is related to the system-wide purposes shown in Exhibit 3.3, and the function of policy in the performance appraisal system. We have noted that system-wide purposes indicate in a general way what the school system wants to happen, what results it expects to achieve. Policies, on the other hand, are somewhat more specific in that they reflect broad belief, intent, or position. The relationship between purposes and policies is that the former indicates what the organization wants to happen, while the latter is one of several plans designed to assure the organization that its expectations will be achieved.

Exhibit 3.5. Illustration of Performance Appraisal Policy

> It is the policy of the Foxdale School District to appraise the performance of all personnel in its employ in order to help each individual improve his effectiveness, to determine appropriate salary action, and to estimate individual potential. Every effort will be made by the school system to communicate to position holders the general goals of the system, the specific objectives of the position, the plans which have been made to support the individual as he performs his role, the standards of performance the system has established, the criteria it will employ in assessing performance, the information it will gather to make the appraisal, and the steps it will take to improve individual effectiveness on the basis of the appraisal. It is the intent of the Board of Education, in the process of performance appraisal, to treat all personnel as individuals with the respect, dignity and consideration due one individual from another in a free society.

With the foregoing policy statement reflecting the position and intent of the school system regarding the conduct of the appraisal process, the chief executive and his staff are in a position to further their plans and organize action for their implementation. The observation can also be made that while policy does not answer all questions about the performance appraisal system, it does clarify for all present and future position holders the organization's views on why performance appraisal is necessary, to whom it applies, and the general manner in which it will be carried out.

Unit Objectives and the Performance Appraisal System

Decentralization, as we know, includes the allocation of a part of the broad purposes of a school system, as well as certain decision-making powers, to a particular unit such as an elementary, middle, junior, or senior high school. The work within a unit is further subdivided among groups and individuals so as to create a hierarchy of objectives. The objectives of each subunit contribute to the broad purposes of the larger unit of which it is a part.

The concept of unit[2] objectives, which represents another of the several plans needed in a performance appraisal system, is central to a performance appraisal system for administrative personnel. It is based upon the following logic:

- Every administrator in a school system is assigned to a unit within the organization – either in the central administration or in a school attendance unit.
- The general purposes of the system must be translated into meaningful objectives for each unit within the organization.
- The specific goals for each administrative position in a unit must be clearly understood.
- The performance of every administrator is appraised in terms of the results he achieves in relation to the organizational expectations established for the unit to which he is assigned.
- The top administrator in every unit is responsible for appraising and improving the performance of all administrators within the unit for which he is responsible. He is looked upon as a change agent, the individual responsible for improving the position behavior of administrators who report to him.

If we examine the illustration of unit objectives provided in Exhibit 3.6, it is clear how critical they are to the operation of a performance appraisal system. Continuous clarification, explanation, interpretation, and staff acceptance of objectives listed in Exhibit 3.6, as well as detailed subobjectives, are among the principal's highest priorities. These are the expectations which the organization has set for this unit and for the administrative positions comprising the principalship. One of the functions of performance appraisal is to assist administrators to achieve the expectations which have been established for the units to which they have been assigned.

[2]The term *unit*, as employed in this discussion, is defined as a structural component of the organization, members of which perform tasks related to a limited set or sub-set of related goals. For example, the administrator in charge of the logistical support (business) function, or of an attendance unit, is concerned with contributions of this circumscribed unit to system-wide purposes.

Exhibit 3.6. Illustration of Unit Objectives for a Public Elementary School

Intellectual
A Fund of Information About Many Things
The Basic Tools for Acquiring and Communicating Knowledge - The 3 R's
The Habit of Figuring Things Out for One's Self
A Desire to Learn More - The Inquiring Mind

Social
The Ability to Live and Work With Others
Understanding Rights and Duties of Citizenship and Acceptance of Reasonable Regulations
Loyalty to America and the American Way of Life
Knowledge of and Appreciation for the Peoples of Other Lands

Personal
A Well-Cared-For, Well-Developed Body
An Emotionally Stable Person, Able to Cope With New Situations
A Sense of Right and Wrong - A Moral Standard of Behavior
Enjoyment of Cultural Activities - The Finer Things of Life

Productive
General Awareness of Occupational Opportunities and How People Prepare for Them
Classification and Training for a Specific Kind of High School Program–Academic, Technical, and the Like
Understanding the Role of Various Family Members
An Introduction to Budgeting and Effective Use of Money and Property

Source: Stephen P. Hencley, Lloyd E. McCleary and J. H. McGrath, *The Elementary School Principalship* (New York: Dodd, Mead, and Co., 1970), 31.

Position Design and the Performance Appraisal System

Throughout the discussion in this section on the types of plans needed to support a performance appraisal system it has been noted that determination of purposes precedes all other organizational activities. Once the purposes of the organization have been established, its structure is planned by allocating the work to be done to units. Within each unit the number, nature, and scope of individual positions are decided. The design of individual positions, of course, has a close relationship to the performance appraisal system. If we analyze the position design for the elementary school principal shown in Exhibit 3.7, the relationship between the position and performance appraisal is clear. The position goals or functions illustrated in Exhibit 3.7 are designed to clarify for the organization, for the holder of the position, and for his subordinates the reasons for the existence of the position, and what it is expected to contribute to the work of the unit and to the entire school system. The manner in which positions are derived from organizational objectives is referred to as the "task-specialization process."[3] The design of any

[3] For a description of the task-specialization process, see Wendell French, *The Personnel Management Process*, 2nd edition (Boston: Houghton-Mifflin Co., 1970), 51.

Exhibit 3.7. Illustration of the Position Design of an Elementary School Principal

The Function of a Principal is to Accomplish Unit Objectives for Which Organization Holds Him Responsible

He does this by

Purpose Resolution and Reinforcement. Formulates, defines, clarifies, and interprets to pupils, staff, and community the objectives of the attendance unit for which he is responsible within the context of organizational purposes. Defines unit and subunit goals within framework of system-wide purposes. Provides funds, facilities, information, and emotional support to subordinates to perform their functions more effectively.

Conflict Resolution. Helps subordinates to make adjustments to position, to organization, to community, and to personnel with whom he is associated. Resolves conflicts arising out of work, roles and relationships. Maintains close contact with day-to-day activities to identify trouble spots, blockages, and interferences affecting implementation of plans. Is available for solving urgent and immediate problems.

Task-Specialization Plans. Develops and implements plans for major task areas of principalship, such as **curriculum and instruction, funds and facilities, staff personnel, pupil personnel, external relations.**

Advice and Service on Attainment of Broad Organizational Purposes. Renders advice and service to chief executive on attainment of broad organizational strategy. Helps to give direction and unity to system as a whole. Advocates solutions to broad issues affecting total organization. Responsibility of principal not limited to his position. He shares commitment of total organization to realizing effective performance.

Application of Administrative and Operational Processes. Makes effective use of administrative processes, including **planning, organizing, leading, controlling.** Makes plans to achieve unit objectives, allocates tasks, provides leadership, motivates personnel, and controls performance in attendance unit.

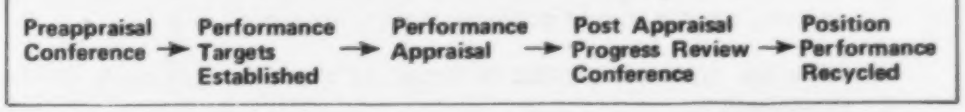
administrative position in the school system is of critical importance, because it determines the kind of competence required, the qualifications necessary to perform the role, the compensation required, as well as the individual development program essential for the incumbent if he is to fulfill the expectations held for him in the position. But more significantly, the position design indicates to both the appraiser and the appraisee the expectations the organization holds for the position, which in turn establishes to a considerable extent the basis on which the incumbent's performance will be judged. To say it another way, the position design determines the results which the organization expects the holder to achieve; it provides also the basis upon which the appraiser determines the extent to which results have been achieved. Moreover, it is the gap between expectations and performance which determines the program of self-development decided upon by appraiser and appraisee.

The reader should note that the position design illustrated in Exhibit 3.7 is not the only plan for making explicit the behavior and characteristics of individuals who occupy administrative positions. Position guides, for example (as in Exhibit 3.2), are employed to carry out the task-specialization process in detail. The position guide includes position specifications, man specifications, areas of authority, performance standards, and position relationships. All components of the guide are designed to clarify the requirements for the performance of personnel in specific positions.

Performance Appraisal Process and the Appraisal System

A process may be defined as a systematic series of interrelated actions directed toward some end, goal, or purpose. It has been noted earlier that the key plan in the performance appraisal system is the *appraisal process.* This process is considered to be a series of sequential and interrelated steps through which action is taken to improve the performance of administrators in the positions they occupy. Although this process will be dealt with in detail in Section 4, it is outlined in Exhibit 3.8 and described in capsule form as follows:

Exhibit 3.8. The Appraisal Process



- Preappraisal Conference. The first step in the performance appraisal process is a preappraisal conference between the individual administrator and his superior. The performance appraisal manual is used jointly to clarify broad organizational purposes, unit objectives, position goals, and the results the organization expects to accomplish through performance appraisal.

- Performance Targets Established. Through a joint determination of the position goals, superior and subordinate decide what areas of administrative performance should be given highest priority. In short, the individual and his superior develop a program of action to improve position performance. Ways of measuring performance are decided jointly.

- Performance Appraisal. Superior reviews progress toward achievement of performance targets established in step 2.
- Performance Improvement Plan Recycled. Plans are recycled to select new performance targets when original targets have been met satisfactorily.

Developing a performance appraisal process in the ways just discussed may sound like a formidable task. Formidable it is, but the long-range goals of performance appraisal are so essential to organization renewal that planning for its development represents a continuing management task. This includes plans for improving the performance of all administrators in their present positions, helping them to know how well they are doing, to know where they are going organizationally, and to satisfy both the expectations of the individual and the organization through effective role performance.

Performance Appraisal Training Program

When a school system commits itself to the kind of performance appraisal system under discussion, it will discover that it will also need plans for training administrators to operate the performance appraisal process effectively. This is a way of saying that the mere installation of a performance appraisal system in a school system is not enough. Such a program is not self-operating. As illustrated in Exhibit 3.9, the chief executive officer of the board of education is responsible for planning a program for the training of administrators regarding the operation of the performance appraisal system. There is considerable knowledge which must be imparted to and acquired by all administrative personnel. This includes:

- An understanding of the organization's purposes in establishing a performance appraisal system.
- The development of positive attitudes on the part of administrators toward the appraisal system.
- An understanding of: How the appraisal process is intended to operate, what it should do for both superior and subordinate.
- How the appraisal process is linked to the long-term goals of the organization.
- How to conduct effective appraisal interviews.
- How to coach subordinates to improve their performance.
- The major tenets of motivation theory and their relevance to performance appraisal.
- The role of the administrator in changing the position behavior of subordinates.
- How to provide opportunities for subordinates to continue to grow and mature in a setting where attainment of personal goals and recognition of individual differences are encouraged.

We have now come full circle in this brief analysis of a performance appraisal system in an organization and the support plans necessary to its effective operation and indeed, its survival. We have seen that a total approach to planning the performance appraisal system requires the development of certain structural prerequisites in the form of broad system purposes, unit objectives, position goals, and training programs. This is accomplished through *organization planning,* by which the total enterprise is grouped into units, departments, and positions. A school system not willing to develop the necessary supporting plans for a total performance appraisal system should not attempt to undertake the approaches under discussion. Without supporting plans, a performance appraisal system will deteriorate quickly, because it does not have the organizational underpinning to withstand the human stresses to which it will be subjected daily. Just how the support plans are linked to the performance appraisal process is the subject to be considered in the section which follows on the appraisal process.

Exhibit 3.9. Functions of the Board of Education, the Superintendent, and the Superintendency in the Appraisal System for Administrative Personnel

Agent	Functions
Board of Education	Calls for development of appraisal system for school administrative personnel.
Superintendent	Implements detailed planning by preparing and submitting to the board of education for approval the following types of plans: • System-wide purposes. • Appraisal policies. • Unit objectives. • Procedural manual for appraising personnel performance. • Periodic seminars for orienting all administrators regarding methods of conducting supervisory conferences in the appraisal process, and for developing wholesome relationships between superior and subordinate. • Linking administrative performance to other aspects of the personnel function such as development, compensation, recruitment, selection.
Superintendency	Provides superintendent with suggestions for developing, implementing, and controlling the appraisal process. Prepares feedback for superintendent and board on effectiveness of appraisal system.

SECTION 4

THE PROCESS OF APPRAISING THE PERFORMANCE OF SCHOOL ADMINISTRATIVE PERSONNEL

In the preceding section attention was focused upon two premises: (a) that an effective performance appraisal system is comprised of a series of interlocking support plans; and (b) one of these plans, referred to herein as the appraisal process, is the core of the appraisal system. Consequently, the purpose of this section is to:

- Propose a model process for appraising the performance of school administrative personnel.
- Examine the various phases comprising the performance appraisal process.
- Note some of the organizational and human obstacles to be encountered in establishing the appraisal process.
- Prepare the groundwork for a workable plan by which superior and subordinate implement the appraisal process.

Overview of the Performance Appraisal Process

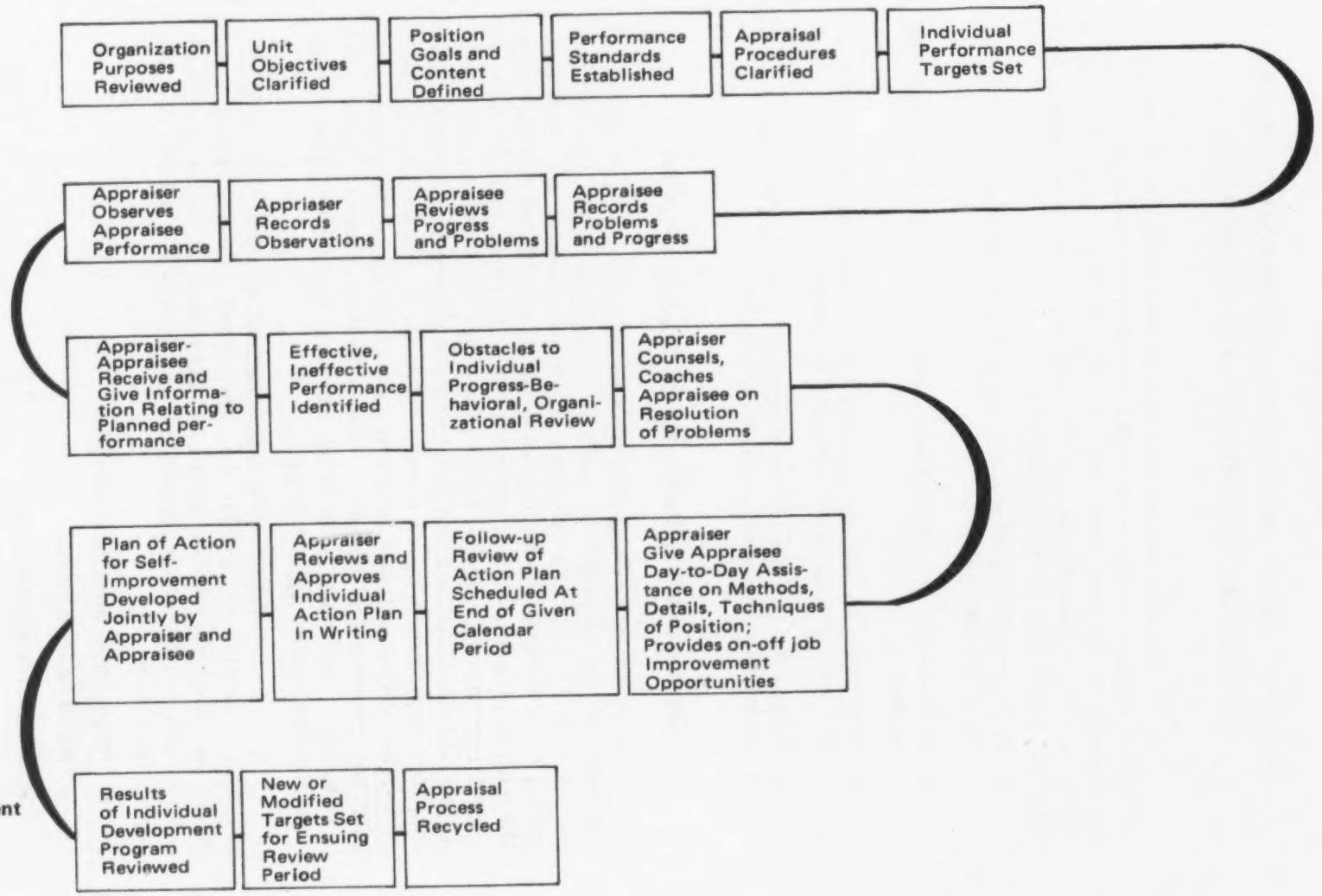
As noted earlier, a process is viewed as a series of interrelated and sequential actions designed to achieve a particular goal. The appraisal process consists of a series of steps in which judgments are reached regarding the extent to which position expectations are attained by incumbents. The goals of the performance appraisal process have implications for both the organization and the position holder. The organization needs information about every administrator's performance so that decisions can be made about improving his position behavior, as well as to enable it to deal more effectively with other related personnel problems such as compensation, recruitment, selection, transfer, and discipline. The individual needs to know what is expected of him, how he is doing, and what his administrative destiny within the organization appears to be.

A model for appraising the performance of school administrative personnel is illustrated in Exhibit 4.1. This model portrays the appraisal process as consisting of five phases or steps, each of which includes a series of interrelated sequential activities. As indicated in Exhibit 4.1, the major steps include:

- Pre-appraisal planning conference
- Performance appraisal
- Progress review conference
- Individual development program
- Post-development program review conference

Each of the steps in the appraisal process will be discussed below in terms of the purposes it is expected to accomplish.

Exhibit 4.1. Model of Performance Appraisal Process for School Administrative Personnel


STEP 1
Pre-Appraisal Planning Conference
Organization Purposes Reviewed
Unit Objectives Clarified
Position Goals and Content Defined
Performance Standards Established
Appraisal Procedures Clarified
Individual Performance Targets Set
STEP 2
Performance Appraisal
Appraiser Observes Appraisee Performance
Appriaser Records Observations
Appraisee Reviews Progress and Problems
Appraisee Records Problems and Progress
STEP 3
Performance Progress Review Conference
Appraiser-Appraisee Receive and Give Information Relating to Planned performance
Effective, Ineffective Performance Identified
Obstacles to Individual Progress-Behavioral, Organizational Review
Appraiser Counsels, Coaches Appraisee on Resolution of Problems
STEP 4
Individual Development Program
Plan of Action for Self-Improvement Developed Jointly by Appraiser and Appraisee
Appraiser Reviews and Approves Individual Action Plan In Writing
Follow-up Review of Action Plan Scheduled At End of Given Calendar Period
Appraiser Give Appraisee Day-to-Day Assistance on Methods, Details, Techniques of Position; Provides on-off job Improvement Opportunities
STEP 5
Post-Development Program Review Conference
Results of Individual Development Program Reviewed
New or Modified Targets Set for Ensuing Review Period
Appraisal Process Recycled

Step 1: Pre-appraisal Planning Conference

The model illustrated in Exhibit 4.1 indicates that the initial step in the performance appraisal process for administrative personnel is the performance appraisal planning conference. This step includes a series of substeps or activities, among which are those designed to acquaint the appraiser and appraisee with the nature, scope, intent, procedures, and expectations of the appraisal process. The pre-appraisal planning conference is an essential channel of communication by which the superior and subordinate exchange information in order to bring about change in the latter's behavior. Generally speaking, it is designed to perform these functions:

- Enable appraiser and appraisee to inform and to become informed about the appraisal process.
- Serve as an instruction function by clarifying for the appraisee what expectations the organization has for the position which he occupies.
- Lead to an understanding of the difference between present and desired position behaviors, and to establish performance targets which close the gap.
- Serve as a medium through which appraiser and appraisee influence each other with regard to the appraisal process.
- Integrate and perpetuate the psychological system of the individual by linking it to the organization structure.

In effect, the first major task in the performance appraisal process is a communications function. It is in the pre-appraisal planning conference that the organization communicates to the position holder the design of his position within the organization structure, and the relationship of the performance appraisal system to that position.

As illustrated in Exhibit 4.1, there are several identifiable steps involved in the planning conference. They include a review by appraiser and appraisee of some of the major support plans established by the organization to implement the performance appraisal system, such as organization purposes, unit objectives, position goals, performance standards, and appraisal procedures. Communication of a considerable amount of the information exchanged between appraiser and appraisee in the planning conference can be facilitated by the organization through the preparation of a performance appraisal manual such as the one outlined in Exhibit 4.2.

Exhibit 4.2. Outline of Manual for Appraising the Performance of School Administrative Personnel

Section A. Position Guide

1. Organization Unit
2. Title of Position
3. Major Objectives of Unit
4. Function of Position in Relation to Unit
5. Major Goals of Position
6. Performance Standards for Position
7. Major Organizational Relationships
8. Area of Authority

Section B. Directions for Conducting Pre-appraisal Conference

Section C. Directions for Appraising Performance of School Administrative Personnel

Section D. Directions for Conducting Progress Review Conference

Section E. Directions for Planning Individual Development Program

Section F. Directions for Conducting Individual Development Review Conference

The suggestion that a school system develop a performance appraisal manual is based upon the premise that the organization should force itself to put in writing its conceptualizations of the performance appraisal system, as well as the operational processes by which it is implemented and perpetuated. A performance appraisal manual should do these things:

- Set forth the broad organization purposes, the organization structure, administrative positions within the structure, and design of each administrative position.
- Clarify the performance appraisal process.
- Provide a maximum amount of information about the performance appraisal system so that all administrative personnel are completely informed about its intent and operation.
- Synchronize and unify the actions of personnel engaged in the performance appraisal process.

In short, the performance appraisal manual is a communication device which should assist the organization in coordinating the performance appraisal system. Since the appraisal process is based primarily upon giving and receiving information, the manual under consideration should be viewed as a major device to facilitate this function.

Position Design and Performance Improvement

It is useful at this point to highlight important assumptions about what takes place in a pre-appraisal planning conference:

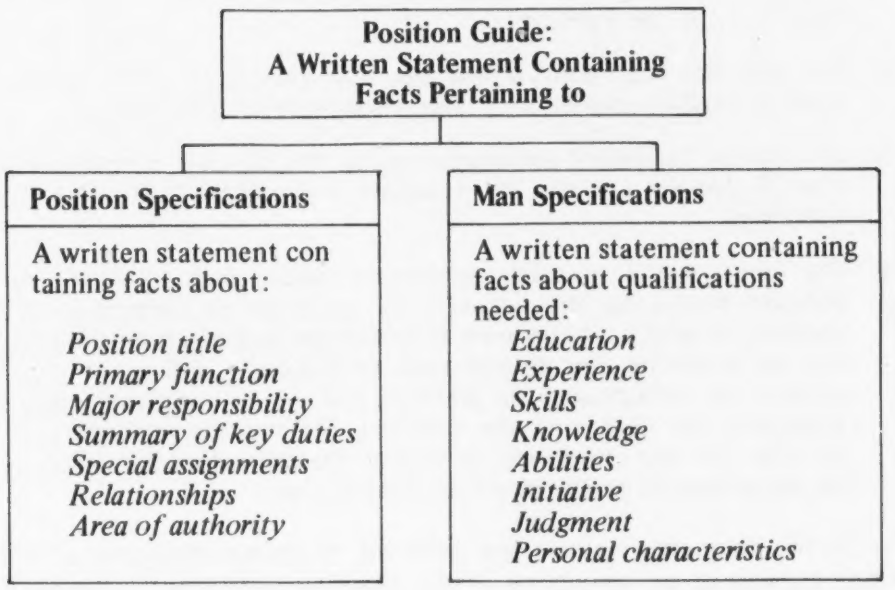
- Performance appraisal is considered to be a systematized organizational activity which takes place primarily between two people – superior and subordinate.

- One of the purposes of a planning conference is to discuss the organization's view of the position and the manner in which it expects it to be performed.
- The first and focal point of the planning conference is the improvement of performance in the position now held by the appraisee.
- An equally important assumption about the planning conference is that it focuses on the development and self-realization of the appraisee.
- The pre-appraisal planning conference should help to orient the position holder to the behavior or performance desired in the position, as well as the manner in which the organization will assist him in achieving the desired level of behavior, and how it will measure his performance. In addition, the session is directed toward dissecting the nature of the position, the behavior necessary to perform the role effectively, as well as the difficulties perceived by the incumbent in performing according to plan.

If the foregoing notions are accepted, it appears that one of the important matters to be considered in the planning conference is the position design. This is to say that for every administrative position in the school system there will be some kind of formal description of it by the organization, indicating what the function of the position is, what the specific tasks are, what its relationship is to other positions, and its areas of authority and responsibility. Briefly, the school system attempts to define, to the extent possible, the nature and scope of each administrative position in the organization structure.

Although the general nature of administrative positions in a school system is determined by system goals, the specific requirements for each are made explicit through position requirements, man qualifications, performance standards, and ritual. The basic idea behind written requirements for each position is that they specify the relevant duties, responsibilities, relationships, and qualifications needed for their performance. Examination of Exhibit 4.3 indicates that two types of information are needed to clarify position requirements – the position and man specifications. The relationship between the information described in Exhibit 4.3 and the appraisal process should be apparent. For example, each position in the school system has some relationship to system purposes. The leader can perform no more effective service in attempting to guide and motivate subordinates than to help orient individuals to the content and context of their roles. The superior's responsibility to each subordinate is to help him to understand the expectations of the position, those of the unit, and those of the entire school system. An individual is more secure if he understands what is expected of him, how he is expected to accomplish it, and how his performance will be assessed. As a matter of fact, the relationship between superior and subordinate is based upon the expectations of the position.

Exhibit 4.3. Elements of a Position Guide



Once this is established, the superior's concern is to help the subordinate fulfill the expectations; it is the subordinate's task to develop the skills, knowledge, habits, and attitudes to perform his role effectively.

As will be explained later in detail, the position design is a way of recognizing that the character or work performed by an individual has a lot to do with his motivation. Consequently, position design is a way of helping to make work more meaningful through a variety of techniques, including position enrichment, enlargement, and rotation.[1]

Position Guides and Performance Appraisal

The position guide, an illustration of which is given in Exhibit 4.4, is one of the support plans essential to the performance appraisal process. It is assumed that for every administrative position in the organization structure there will be a position guide. More than likely, all position guides for administrative positions will be included in the performance appraisal manual, such as the one outlined in Exhibit 4.2. As noted earlier, the manual then becomes a formal organization document for use in the appraisal process, and especially in the initial planning conference under consideration.

Examination of Exhibit 4.4 indicates that the position guide is a useful tool for both superior and subordinate to analyze the position content and context. It is also useful for determining the relative importance of each position in the administrative structure. The position guide not only commits the formal organization to a written record of the position function and status, it provides information useful in each of the various steps of the appraisal process outlined in Exhibit 4.1.

---

[1] For a description of experiments in job enrichment and enlargement see Harold M. F. Rush, *Job Design for Motivation* (New York: The Conference Board, 1971).

It is worth noting at this point that one of the elements of the position guide illustrated in Exhibit 4.4 is the performance standard. The development of performance standards is a further step toward clarifying for the position holder how well he is expected to perform and what he is expected to accomplish in a given period of time. A performance standard is simply a way of stating the conditions which will exist or the results which will be achieved when the position functions are performed effectively. Most of these standards, it should be noted, are stated in qualitative rather than quantitative terms. Because school systems are concerned with service delivery rather than production, most of the performance standards will not be expressed in terms of units to be produced but in terms of anticipated outcomes which cannot always be quantified. Statements of standards, when appended to the position guide, extend the position description by indicating what the organizational expectations are and what results should be anticipated when the work is well done.

Performance Targets and Performance Appraisal

Before proceeding to other points, let us take another look at Exhibit 4.1, which outlines the performance appraisal process. Examination of the sequence of activities involved in the *pre-appraisal planning conference (Step 1, Exhibit 4.1),* indicates that the key activity is the setting by superior and subordinate of individual performance targets. These are the specific goals which superior and subordinate decide should be given priority. These are the areas of the position which superior and subordinate have reviewed and agree are the results they want to achieve in the position over a given period of time. Some of the targets will be derived from a variety of sources, such as the observations of both superior and subordinate about common problems in the position which need attention, the results of surveys, audits, and complaints about aspects of performance in the position which are less than satisfactory.

Exhibit 4.4. Illustration of Position Guide

Position Title: Principal, Fawn Grove Elementary School

Purpose of Position: To advocate, develop, execute, and assess the results of plans designed to facilitate the growth and development of pupil personnel assigned to this attendance unit.

Principal Responsibilities:

- Formulate, define, clarify, and interpret to pupils, staff, and community the objectives of this attendance unit within the context of organizational purposes.
- Define unit objectives and subunit goals within framework of system-wide purposes.
- Advocate, develop, execute, and assess the results of the learning experiences in the curriculum of this school.
- Advocate, develop, execute, and assess the results of instructional theories designed to facilitate the growth and development of pupil personnel assigned to this attendance unit.
- Provide effective supervision of human and non-human resources allocated to this attendance unit.

- Assess the results of all central and unit plans for facilitating the growth and development of pupil personnel assigned to this attendance unit.
- Advocate, develop, and assess the results of manpower plans for this attendance unit.
- Provide for effective coordination of unit plans with those of other system units and those of the central administration.
- Resolve conflicts arising from role ambiguity and organizational stress.

Principal Organizational Relationships:

- Is under the general direction of the assistant superintendent for instruction.
- Directs the work of all subordinates assigned to this attendance unit.
- Integrates the activities of this unit with those of other units within the system.
- Consults with the assistant superintendent for instruction for advice and assistance, and renders advice and support to him.

Area of Authority:	**Authority:**
• Supervision of attendance unit personnel	Full
• Recommend new or modification of existing unit plans	Full
• Execution of previously established plans	Full
• Appraisal of unit personnel	Full
• Selection of personnel	Partial
• Compensation of personnel	None
• Control of unit funds and facilities	Partial

Some Factors Considered when Performance is Judged (Performance indicators):

- The extent to which this attendance unit facilitates the growth and development of all children assigned to this attendance unit.
- The quality of instruction provided in this attendance unit.
- The diversity and richness of educational opportunities provided to children in this attendance unit.
- The nature, extent, and quality of individualized instruction provided in this unit.
- The leadership qualities demonstrated in planning, organizing, leading, and controlling the activities related to this attendance unit.
- The nature, quality, timeliness, and quality of supervision rendered to subordinates assigned to this unit.
- The extent to which coordination is effected with other organizational units.
- The extent to which this organization attracts and retains personnel needed to make it function effectively.

Preparation, Experience, Skills:

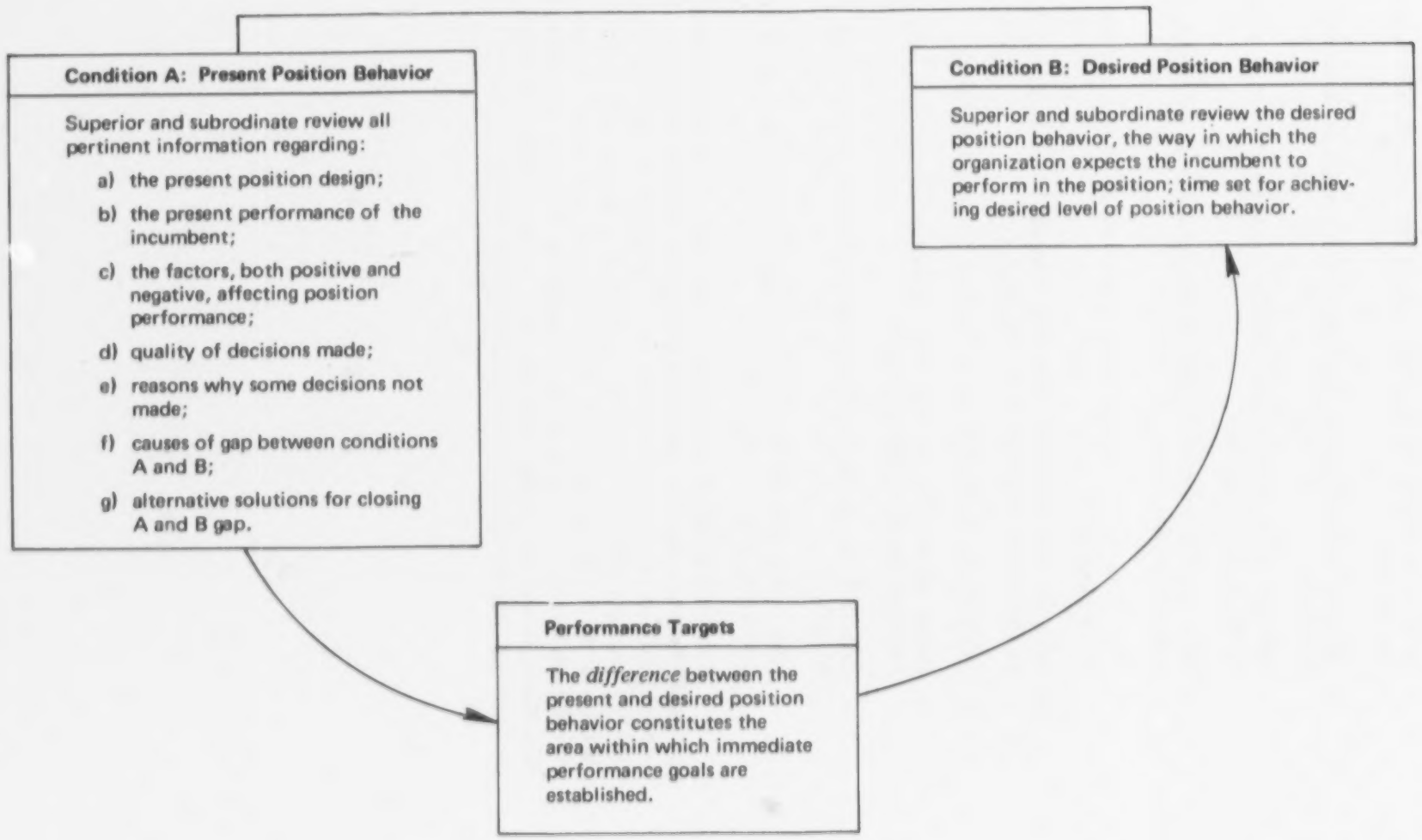
- Doctor's degree or equivalent, including ability to meet certification requirements for position.
- Demonstrated ability to exercise the responsibilities allocated to unit.
- Demonstrated ability to apply conceptual, human, and technical skills to position of this type.
- Demonstrated ability to motivate subordinates to cooperate voluntary in attaining unit and organizational aims.
- Demonstrated ability to understand the implications of social, political, educational, and economic changes; the significance they hold for the attendance unit; to initiate and direct appropriate change within the attendance unit based upon broad societal changes.

Targets may well derive from discussions between superior and subordinate which center around questions such as the following:

- What information do we have about the desired performance in the position?
- What information do we have about the present performance in the position?
- What are some of the constraints in achieving the behavior desired in the present position?
- What are the important causes of the behavior or conditions which presently exist?
- What does the incumbent feel is a satisfactory level of performance in the position?
- What are the immediate behavioral changes which should be sought or conditions in the position to be changed?
- What are the alternative ways of achieving these objectives?
- Which alternative has the best potential for bringing about behavioral changes in the position?
- How will we know when desirable behavioral changes have taken place?
- What time periods should be established to check progress in improving position behavior?

Exhibit 4.5 will be introduced at this point to conceptualize the relationship between position behavioral change and performance targets in the appraisal process. Examination of the model shown in Exhibit 4.5 indicates that in the pre-appraisal planning conference superior and subordinate identify present and desired levels of behavior, as well as define carefully, through performance targets, changes needed to improve the behavior or conditions which are under scrutiny. The targets become in effect, the performance objectives for the designated appraisal period.

Exhibit 4.5. Model For Improving Position Behavior Through Performance Targets


Condition A: Present Position Behavior
Superior and subrodinate review all pertinent information regarding:
a) the present position design;
b) the present performance of the incumbent;
c) the factors, both positive and negative, affecting position performance;
d) quality of decisions made;
e) reasons why some decisions not made;
f) causes of gap between conditions A and B;
g) alternative solutions for closing A and B gap.
Condition B: Desired Position Behavior
Superior and subordinate review the desired position behavior, the way in which the organization expects the incumbent to perform in the position; time set for achieving desired level of position behavior.
Performance Targets
The difference between the present and desired position behavior constitutes the area within which immediate performance goals are established.

The concepts illustrated in Exhibit 4.5 can be described in operational terms by assuming that the assistant superintendent for instruction and the principal of the Raintree Elementary School decide upon performance targets such as the following:

- To improve pupil citizenship in the Raintree school.
- To have all classroom teachers understand the goals of the positions to which they are assigned.
- To raise the reading level of Raintree school to citywide elementary school norms.
- To improve the instructional resources for teaching social sciences in grades 4-6.
- To improve the human skills of John Smith, Raintree principal.
- To improve the individualization of instruction at every teaching station.

Let us note that the performance targets selected as priority items have several characteristics. They are attainable – capable of being realized. They are related to both the needs of the unit and those of the incumbent principal. They are specific. They are designed to bring into balance the position responsibilities and the self-development goals of the principal. They are capable of being reviewed by the superior within a given period of time to determine the extent to which results have been achieved. The difference between actual and desired performance becomes the target area.

In contrast to the method of judging the progress of subordinates by the objective or result, Lopez offers the interesting point that making the *decision* the unit of analysis and evaluation may be a more suitable way of evaluating managerial ability. He points out that

> . . . while a manager may not be held accountable for results (because many are due to events and circumstances beyond his control), he can be asked to answer for the decisions he does or does not make.[2]

Performance targets growing out of the planning conference become the basis for advancing to step 2 in the performance appraisal process – the appraisal itself. This will be the focus of the section which follows.

Step 2: Performance Appraisal

As with any model for dealing with organizational problems, the usefulness of the model shown in Exhibit 4.1 depends upon the degree to which its assumptions and characteristics are applicable to real problems in performance appraisal. The assumptions underlying the model shown in Exhibit 4.1 are straightforward:

---

[2] Felix M. Lopez, *The Making of a Manager* (New York: American Management Association, 1970), 276.

- The paramount, though not exclusive, concern of the organization in judging the performance of an administrator is the results he achieves in terms of the position expectations.
- The management of improvement in any administrative performance is based upon the permise that both superior and subordinate will examine jointly the extent to which the position goals are being achieved; that both will participate in setting up performance targets, the achievement of which will lead to overall improvement of subordinate performance.
- Performance appraisal will be focused on both results and the elements in the administrative behavior of the appraisee conducive to results.

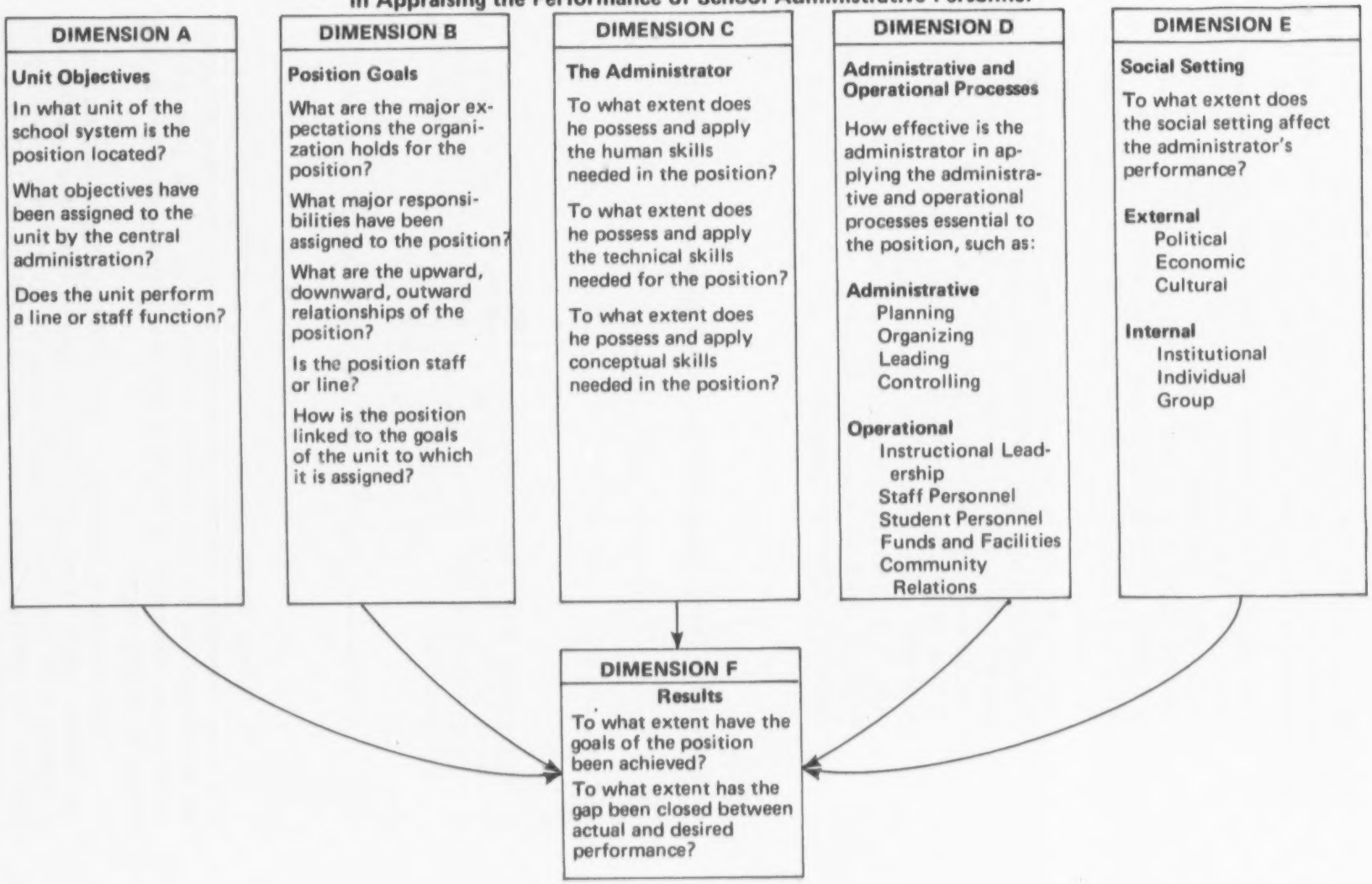
If we turn to the model shown in Exhibit 4.1 we note that step 2, which we are about to consider, is the very heart of the process. It calls for a self-appraisal by the subordinate of the extent to which he is achieving the goals of his position. In addition, the superior makes an independent judgment of the results achieved by the subordinate in relation to the performance targets which have been established jointly. As will be illustrated later, *results of both appraisals are recorded separately, since both inputs are essential to the appraisal process.*

So far we have discussed what is to be done in performance appraisal, not how it is to be done. To see how performance appraisal should proceed under the foregoing assumptions, let us consider Exhibit 4.6, which is a general model of the organizational dimensions to be considered in appraising the performance of school administrative personnel. The idea behind the model in Exhibit 4.6 may be summarized as follows:

- The extent to which any administrator achieves the goals of the position to which he is assigned depends upon the interaction of several variables, or dimensions, none of which can be judged quantitatively. These variables include the man, the position, unit objectives, the social setting, and the effective application by the administrator of administrative and operational processes.
- In considering the performance of administrators, each of these variables must be considered, since each has an impact on the results achieved in the position.
- Both the superior and subordinate must be aware of the dimensions which affect the performance of the individual administrator. The appraiser, for example, must take into consideration the six dimensions noted in Exhibit 4.6 as he assesses the extent to which the appraisee is making progress in meeting the performance targets which have been established. The appraisee should know the dimensions which comprise the performance appraisal process so that he can guide his performance more intelligently.

Now that the dimensions of appraising the performance of administrative personnel have been outlined, here are the steps taken in applying them to an actual situation:

Exhibit 4.6. Model of Organizational Dimensions to be Considered in Appraising the Performance of School Administrative Personnel


DIMENSION A
Unit Objectives
In what unit of the school system is the position located?
What objectives have been assigned to the unit by the central administration?
Does the unit perform a line or staff function?
DIMENSION B
Position Goals
What are the major expectations the organization holds for the position?
What major responsibilities have been assigned to the position?
What are the upward, downward, outward relationships of the position?
Is the position staff or line?
How is the position linked to the goals of the unit to which it is assigned?
DIMENSION C
The Administrator
To what extent does he possess and apply the human skills needed in the position?
To what extent does he possess and apply the technical skills needed for the position?
To what extent does he possess and apply conceptual skills needed in the position?
DIMENSION D
Administrative and Operational Processes
How effective is the administrator in applying the administrative and operational processes essential to the position, such as:
Administrative
Planning
Organizing
Leading
Controlling
Operational
Instructional Leadership
Staff Personnel
Student Personnel
Funds and Facilities
Community Relations
DIMENSION E
Social Setting
To what extent does the social setting affect the administrator's performance?
External
Political
Economic
Cultural
Internal
Institutional
Individual
Group
DIMENSION F
Results
To what extent have the goals of the position been achieved?
To what extent has the gap been closed between actual and desired performance?

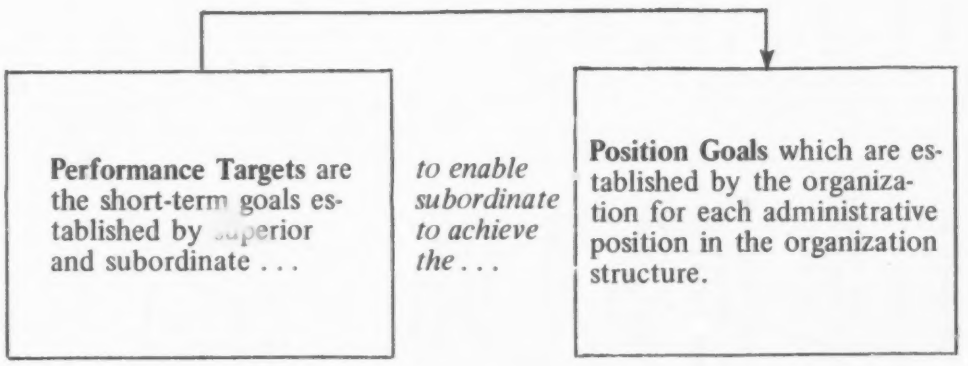
A. Appraiser Observes Performance of Appraisee.

Let us now look in detail at the problem of how the superior goes about basing a performance evaluation on the dimensions noted in Exhibit 4.6. Here it will help to make the point that the superior must appraise the performance of his subordinate from two standpoints:

- *Are the goals of the position being achieved?* Here we are talking about the long-range goals of the position, especially in terms of those goals which have been established by the organization in the position guide. The appraiser is constantly interested in determining the extent to which the appraisee performs in terms of the way the performance standards indicate the work should be performed.

- *To what extent are the short-term goals or performance targets being achieved?* The relationship between performance targets and long-range results that the appraiser examined in performance appraisal is illustrated in Exhibit 4.7. The performance targets are relatively short-term, decided upon jointly by superior and subordinate to give day-by-day direction to the administrative behavior of the subordinate. The performance targets suggest priority actions which need to be taken by the subordinate and the skills, habits, and attitudes he needs to acquire to improve his total performance in the position to which he is assigned.

Exhibit 4.7. Relationship of Performance Targets to Position Goals


Performance Targets are the short-term goals established by superior and subordinate . . .
to enable subordinate to achieve the . . .
Position Goals which are established by the organization for each administrative position in the organization structure.

In light of the foregoing discussion of results (Figure 4.6, Dimension F) and the assumption that they are the ultimate aim of the appraisal system, the tough question for the appraiser to face up to is this: How are the remaining five dimensions, A through E, applied to the performance appraisal process in judging results?

The dimensions illustrated in Exhibit 4.6 are those variables associated with any administrative position. The appraiser takes these variables into consideration in appraising the performance of subordinates by trying to ascertain the influence each exerts upon role fulfillment. This idea may be explained by stating them in the form of questions.

Dimension A: Unit Objectives. To what unit of the school system is the position assigned? Unit objectives have a bearing on administrative performance in that the design of an administrative position grows out of the objectives of the unit to which the position is allocated. Consequently, the performance of any administrator cannot be judged meaningfully unless there is a clear understanding of the larger aims to which the position is supposed to contribute. The concern of each administrator extends beyond the immediate position or unit for which he is responsible. The entire spectrum of organization purposes, and the plans and positions through which they are achieved impinge on all administrators. Thus, performance appraisal must involve an assessment of each administrator in terms of his contribution both to the purposes of his position and those of the larger unit of which it is a part.

Dimension B: Position Goals. What are the major expectations the organization holds for the position? Here we are saying that the appraiser must have some knowledge of the expectations or goals of the position before he can judge whether the incumbent is performing effectively in that position. He will need to know why the position exists (how it is linked to unit objectives), major responsibilities assigned to the position, and position relationships.

Dimension C: The Administrator. To what extent does the administrator possess the *human, technical,* and *conceptual* skills to perform effectively in the administrative position to which he is assigned. The superior must have considerable understanding of the subordinate's human, technical, and conceptual skills which his subordinate brings to the position. Without this knowledge it will be impossible for the appraiser to understand the reasons for success or failure in the position and to direct the future development of the individual.

Dimension D: Administrative and Operational Processes. There are two major processes which may be conceptualized for the administration of an organization. These are referred to as *administrative* and *operational processes.* Both processes interact in a highly interdependent way. Both processes overlap with each and are not conceived as separate entities. *Administrative processes,* such as planning, organizing, leading, and controlling are activities engaged in to some extent and in varying degrees, depending on the position level, by all administrators. *Operational processes,* on the other hand, include those administrative activities which occur generally, though not exclusively, at the unit level. For example, instructional leadership, management of funds and facilities, staff personnel, and pupil personnel are operational processes usually occurring in an attendance unit of a school system.

The question to focus upon here is whether administrators in every position are competent in applying those administrative and operational processes which are essential to achieve the goals of the positions which they occupy. Consequently, one of the dimensions which the superior must appraise in judging the performance of a subordinate is the skill with which the administrator applies these processes to his assignment.

Dimension E: Social Setting. No two administrative positions are exactly alike. The social setting in which the work of any administrative position is performed may either facilitate or hinder goal realization. The kind of staff, for example, with which an elementary school principal must work, the nature of the community in which the school is located, the resources (human, physical, and financial) available to him, and the composition of the student body are illustrative of the factors which need to be taken into consideration in judging the performance of this individual. Obviously the social setting will affect performance more in some administrative positions than in others. Therefore, this dimension is one which cannot be overlooked by the superior in making judgments about administrative performance.

B. Appraiser Records Observations.

For a variety of reasons the superior needs to record his observations concerning the administrative performance of his subordinates. These reasons include the recording of information for the follow-up conference with the subordinate, for performance analysis, for the action program to be developed, and for the performance history of the individual administrator. The essential features of a form for recording observations on the administrative performance of an individual are as described below and illustrated in Exhibit 4.8.

- The performance appraisal record should indicate the position goals (long-term) and the performance targets (short-term) established for the administrative position under consideration.
- The performance appraisal should be focused upon the extent to which the long- and short-term goals of the position are being achieved.
- Three types of information will be recorded: (a) information about gaps between position goals and the extent to which they are being achieved; (b) information about each of the performance dimensions which affect attainment of position goals; (c) information about overall performance, potential, and destiny within the organization.

While the recording of an appraiser's observations is usually the least attractive activity in performance appraisal, it is important. The summary reflects the progress of the incumbent, the conclusions reached about his performance, and forms one basis for step 3, the progress review conference (see outline in Exhibit 4.1).

Exhibit 4.8. Illustration of Performance Appraisal Report

Performance Appraisal Form — Part I

A. Appraisee

Title of Position: *Elementary Principal*
Position Location: *Fawn Grove Attendance Unit*
Reports to: *Assistant Superintendent, Instruction*
Nature of Responsibility: decision making ☑ advisory ☐
Number of staff supervised directly *20*
Number of staff supervised indirectly *31*
Incumbent: *Heidi T. Eckert*
Age: *38*
Years in Present Position: *3*
Years in System: *8*
Date of Birth: *8/31/33*
Education:
Bachelor's Degree: *Radcliffe*
Master's Degree: *Harvard*
Doctorate: *Columbia*

B. Appraiser

Title of Position: *Assistant Superintendent for Instruction*
Position Location: *Central Administration*
Incumbent: *Fernando Moreno*
Date of Review: *4/1/72*

C. Major Position Responsibilities

1. *Advocate, develop, and implement unit plans*
   a) *Curriculum*
   b) *Instruction*
   c) *Supervision*
   d) *Coordination*
2. *Execution of unit plans*
   a) *Curriculum*
   b) *Instruction*
   c) *Supervision*
   d) *Coordination*
3. *Assess results of plans*
   a) *Curriculum*
   b) *Instruction*
   c) *Supervision*
   d) *Coordination*

D. Performance Appraisal Commentary

1. *Does not sense importance of relationship of system goals to instructional results. Does not convey effectively broad system plans to unit staff.*
2. *Has not yet learned to motivate staff with sufficient challenge nor to develop proper integration of team effort.*
3. *Has difficulty assessing results and plans because of lack of understanding of goals, purposes, and objectives. Does not diagnose major problems readily.*

E. Strengths Observed in Appraisal of Position Performance

Takes appropriate action to eliminate marginal performance

Strong motivation for improving performance of unit.

Maintains excellent relations with community.

Performance appraisal process considered by staff to be highly effective.

Sees beyond immediate position and is constantly searching for new ideas

F. Limitations Observed in Appraisal of Position Performance

Lacks ability to be critical of herself and her performance, or to make constructive effort to improve her performance, procedures, systems, and administrative processes.

Staff members critical of degree to which she communicates all matters of importance (problems, obstacles, successes, instructions), upward, downward, outward.

G. Factors Affecting Position Performance

Place *S* before each dimension in which incumbent is strongest. Place *N* before each dimension in which improvement is needed

Personal Characteristics

S Conceptual Skills
S Human Skills
N Technical Skills

Knowledge of Organizational Expectations

N System Purposes
N Unit Objectives
N Position Goals

Administrative Processes

N Planning Ability
S Organizing Ability
S Leading Ability
N Controlling Ability

Operational Processes

N Instructional Leadership
S Staff Personnel
N Student Personnel
S Funds and Facilities
S Community Relations

Social Setting

S External
N Internal

H. Performance Targets	I. Plans to Achieve Performance Targets	J. Progress Review Date
1. Raise minimum level of language attainment in this attendance unit to national norms within one year.	1. Develop mini courses for school staff to understand, take action on, and appraise results of language problems of this unit; arrange for central staff to assist in development of plans and provision of resources.	Quarterly
2. Raise reading levels of attendance unit to system norms within one year.	2. Arrange for selected members to engage in staff development program in reading, provide assistance to teachers in need of help in teaching of reading.	Quarterly
3. Initiate plan for extending community opportunity to consider quality of education it desires for this unit.	3. Develop series of meetings to enable community to consider the quality of education it desires for this attendance unit. Examine ways by which community can assist in attainment of this goal.	Monthly
4. Improve effectiveness of incumbent in face-to-face contacts with staff.	4. Appraiser coaches and counsels incumbent on face-to-face staff discussions. Helps her to understand results desired in this type of communication.	Weekly

Appraisee Signature Heidi J. Eckert Date 5/1/72

Appraiser Signature Fernando Moreno Date 5/1/72

Copies: 1) Appraiser 2) Appraisee 3) Superintendent of Schools

C. Appraisee Makes Self-Appraisal and Records Problems and Progress.

Examination of Exhibit 4.1 indicates that one of the essential activities in step 2 (performance appraisal) is the self-appraisal by the incumbent of his administrative performance. To a considerable extent the appraisee goes through the same analytical process as the appraiser does to determine the degree to which he is meeting the requirements of the position. Exhibit 4.9 has been included to indicate the kinds of questions the appraisee asks himself about his own performance. The self-appraisal process has at least three purposes: (a) to assist the subordinate to analyze his present performance; (b) to provide information for a progress review conference with the superior; and (c) to help the incumbent to identify his strengths, weaknesses, and potential, as well as to help him to make plans for improving his performance.

Step 3: Performance Progress Review Conference

Once the performance appraisals are completed by the appraiser and appraisee, the next step in the appraisal process is the performance progress review conference, sometimes referred to as the post-appraisal interview (see Exhibit 4.1).

One of the purposes of the progress review conference is an exchange of information between superior and subordinate about the latter's performance. The information contained in Exhibits 4.8 and 4.9 will be exchanged between both parties. The appraiser prepares for the conference by reviewing carefully the appraisal he has made. Likewise, the appraisee, who receives a copy of the report, reviews it in preparation for the discussion.

A second purpose of the progress review conference is to clarify viewpoints about the subordinate's performance. Differing perceptions of the position goals and responsibilities, authority, and relationships can be identified, examined, and clarified. The subordinate's feelings toward achieving performance targets can be examined. Obstacles to individual progress, whether they be individual or organizational, are topics open for discussion.

Emphasis on the self-development of the appraisee is a third purpose of the progress review conference. As noted earlier, performance appraisal is designed not only to accomplish organizational ends but to help the individual attain personal objectives, one of which ought to be performance improvement. It is at this stage of the conference that the superior attempts to counsel or to coach the appraisee on the resolution of problems affecting his performance.

Exhibit 4.10 has been included to illustrate a means by which the appraiser can compare his judgments and those of the appraisee on the latter's performance. The information contained in this form provides the basis for the progress review conference and the individual development program, which will be the focus of the text following.[3]

---

[3]Space does not permit extensive discussion of the conduct of the post-appraisal interview. Its significance to the appraisal process, however, should not be undervalued. For detailed analyses of the performance review see references cited in Section 6.

Exhibit 4.9. Illustration of Self-Appraisal of Administrative Performance

Performance Appraisal Form — Part II

Section A. Summarize the overall strengths that you have demonstrated in performing your present assignment.

Section B. Do you feel that you are well placed in your present assignment? If not, please explain.

Section C. In what areas of your present assignment or in the way you perform your present assignment do you think you can improve your performance?

Section D. Do you feel that you have potential beyond your present assignment? How have you demonstrated this potential? What can you suggest as your next assignment?

Section E. Are there significant facts which you think should be noted about the dimensions of your position which affect your performance and which you think should be brought to the attention of your superior, such as:

- Unit Objectives
- Position Design
- Human, Technical, Conceptual Skills of Administrator
- Social Setting
- Administrative and Operational Processes
- Results Achieved

Section F. How effectively do you feel you have met the responsibilities of your position?

Signature of appraisee _____ *Date* _____

Exhibit 4.10. Performance Progress Review Report

Performance Appraisal Form — Part III

Name of Appraisee _____ **Organizational Unit** _____ **Position** _____

Section A.	What progress does the *appraiser* think the appraisee made during the review period in closing the gap between actual and desired performance?	What progress does the *appraisee* think he has made in closing the gap between actual and desired performance?
Section B.	In what areas does the *appraiser* think the appraisee can improve?	In what respects does the *appraisee* think he can improve?
Section C.	Since the last appraisal, in what ways does the *appraiser* think the performance of the appraisee has improved?	Since the last appraisl, in what ways does the *appraisee* think his performance has improved?
Section D.	What specifically does the *appraiser* plan to do to improve the performance of the appraisee?	What are the appraisee's plans for helping himself?
Section E.	What follow-up action will be taken by the *appraiser* on the basis of this review?	What appears to be the general reaction of the appraisee to (a) the performance appraisal; (b) ways by which performance can be improved?

Signature of appraiser _____

Date of review _____

Step 4: Individual Development Program

Now let us consider the next step in the appraisal process, which is, according to Exhibit 4.1, the joint development of an action program for the appraisee based upon step 3, the progress review conference.

The essence of the individual development program may be summarized as follows:

- The performance appraisal reports should indicate to both superior and subordinate how well the latter has done in reaching previously established targets. (Exhibits 4.7 and 4.8). The appraisal reports should make it possible to determine how the appraisee is actually doing.

- On the basis of the progress review conference, which points up both results achieved and results to be achieved, superior and subordinate come to a common understanding on what performance targets should be reestablished for the next review period.

- During the period set for the individual development program, considerable responsibility is placed upon the superior for guiding and motivating the behavior of the subordinate in terms of the performance targets.

Let us elaborate now upon two key phases of the individual development program: (a) the resetting of performance targets, and (b) the role of the superior in guiding and motivating the development of the individual administrator. The setting of performance targets, in which the subordinate is urged to set the pace, involves these assumptions:

- The setting or resetting of performance targets has both motivating and developmental potential for the subordinate.

- The number of performance targets during any given review period should be *limited in number* and *capable of being reached.*

- Performance targets should include individual actions as well as results essential to attainment of position and unit goals.

- Performance targets should be stated in such a way that both the appraiser and appraisee can determine to what extent they have been reached. Questions such as the following demonstrate the desirability of determining in advance how progress in reaching performance targets is measured: How do we determine the progress of an individual administrator in improving the reading skills of pupils in the unit for which he has administrative responsibility? How do we measure the extent to which principal X has made progress in improving his human skills? How do we judge whether the total goals of the unit are being achieved?

- Although performance targets are short-range goals, they should have relevance to long-range objectives of the position and the unit of which it is a part.

- Dates are established for each specific performance target. Review of progress toward performance targets need not be confined to the end of the performance review period. The nature of the target will determine the time of the progress check.

The success of the individual action program depends not only on the judgment exercised in selecting appropriate performance targets, but also on actions taken by the superior to assist the development of subordinates. For example, these kinds of actions might be taken by the superior:

- Day-to-day assistance on methods, details, and techniques of improving position performance.
- Creating on-and-off position opportunities.
- Granting more freedom and responsibility to the individual in performing the activities of his position.
- Assigning challenging tasks to enable administrators to acquire expertise.
- Creating new and more difficult assignments.
- Making periodic, informal, on-the-spot reports to subordinate on performance.
- Identifying training needs which have been spotted in the course of the individual development program.

The mechanics by which individual development programs are systematized are illustrated in Exhibit 4.11. The point of the illustration is to focus upon the idea that the following features are essential to an individual action program:

- A plan developed jointly by superior and subordinate identifying, by priority, specific performance targets which are to be the focus for the development period.
- A summary by the superior relative to the outcomes which the performance targets are designed to achieve.
- A description of the measures to be used to determine the progress of the subordinate in reaching the performance targets.
- A description of specific approaches for improving the performance of the incumbent. These include specific actions to be taken, responsibility for initiating action, dates on which action will be initiated and on which progress will be reviewed.

Exhibit 4.11. Outline of Individual Development Program

Performance Appraisal Form – Part IV

Position: *Principal, Fawn Grove Middle School*

Incumbent: *J. D. Moran* Date: *April 2, 1972*

Appraiser: *J. Jones* Period Covered: *1/1/72 - 4/1/72*

1. Performance Targets	List the specific performance targets established with the incumbent at the beginning of the performance review period.
2. Measures of Performance	Describe what means will be used to measure progress made in reaching performance targets.
3. Performance Expectations	Describe, for each performance target listed, the results which are anticipated.
4. Action by Superior and Subordinate	List specific actions to be taken by both superior and subordinate for each performance target listed.
5. Responsibility for Initiating Action	List responsibility for initiating action relating to each performance target.
6. Date of Initiation	List dates where actions for each performance target will be initiated.
7. Date of Progress Review	List date on which progress for each performance target will be reviewed.

Signature of Incumbent _____

Signature of Supervisor _____

Date _____

In summary, the events described in step 4, the individual development program, are aimed primarily, though not exclusively, at increasing the individual administrator's capability of contributing to the goals of the position, the objectives of the unit, and the broad purposes of the school system. Included in this flow of events are a variety of activities, ranging from cooperative planning of performance targets by superior and subordinate to counseling, coaching, and development opportunities on-and-off the job. Success of the development program depends not only on how the individual responds to the challenges and opportunities presented to him, but upon the effectiveness of the superior in guiding and motivating the behavior of subordinates through the developmental process. Ideally, these approaches will lead to a high degree of goal attainment, as well as to satisfaction of needs and goals of both superior and subordinate.

Step 5: Post-Development Program Review Conference

As shown in Exhibit 4.1, the fifth step in the performance appraisal model is the post-development program review conference. This phase of the process is designed to check the results of the individual development program and to establish new or modified performance targets for the ensuing review period. In effect, the appraisal process is being recycled. As performance standards are reached in any of the administrative dimensions under consideration, the process is redirected toward other areas of administrative performance where improvement is needed. Quite obvious is the fact that the intent of the review conference is to establish continuity and stability in the development program of the individual administrator. Concrete plans should emerge for extending the program in areas where performance has been weak and for further building strength in areas where it has been good. Kindall and Gatza make several interesting points with regard to checking results:

- Here is a key point in the understanding of this appraisal program: *Hitting the target is not the measure of success.* It is to be expected that some targets will be surpassed, some never even approached. The person who sets meager targets and always hits them is certainly of no greater value to the company than the person who sets unreachably high targets, falls short consistently, yet in doing so makes substantial improvements on his past work.

- If one's "score" in hitting the bulls'–eye is not the important thing, what is? Simply this: the results achieved by the *total process* of establishing targets, striving to attain them, and analyzing what intervenes between planned and actual performance. When a judgment must be made, the individual is evaluated on his ability to set targets as well as his ability to attain them.

- In checking results, we feel the superior should do all he can to emphasize success – to build on successful accomplishment, the superior should help the subordinate. This help takes many forms: coaching, training, work assignments, allowing the subordinate to substitute for the superior, and so on.

- There is nothing in the recommended appraisal procedure which suggests that a superior should abdicate his managerial responsibility. Suppose that after coaching, training, and other help, a subordinate fails to set and reach targets deemed realistic by his superior. At this point the boss should act, even though it might mean demotion, transfer, or release of the subordinate.[4]

Having reviewed the basic components in the chain of steps comprising the performance appraisal process, there are several aphorisms about the process to consider:

- Changes in administrative behavior are the objectives of a performance appraisal program. This means a change in the administrator's self-concept.

- The purpose of having the administrator engage in self-appraisal of his performance is to enable him to gain insights of self-understanding. Out of self-understanding should come changes in self-expectation.

- The changes sought in administrators can develop only through their own self-direction.

  Measures for appraising the performance of school administrators are not expected to be high precision instruments, since the nature of what is being measured is not easily reduced to quantitative terms.

- Genuine self-development of subordinates will not occur without direction from the superior. Progress review conferences provide the opportunity for superior and subordinate to inventory successes and failures and to develop an understanding on the part of the subordinate of their consequences.

- Although there is a considerable amount of knowledge and understanding required to plan, organize, implement and operate a performance appraisal system, the application of the process need not be complicated. It has been said that there is an inverse relationship between the amount of paperwork involved in the appraisal process and its effectiveness. Consequently, the emphasis of the appraisal process should not be on an elaborate system of forms, procedures, and reports. The focus of the program, as stressed throughout this text, is the self-development and self-realization of administrative personnel.

- School systems adopting the concepts proposed herein will need to undergo a process of renewal. It will mean for many districts abolition of the time-honored, trait-oriented rating system, which unfortunately, has been assumed to be a panacea for all appraisal problems. It will mean the development of a support system for the appraisal process, as explained in section 3. It will mean a change in traditional plans for the continuing education of administrators, since the focus will be switched to the achievement of

---

[4] Alva F. Kindall and James Gatza, "Positive Program for Performance Appraisal," *Harvard Business Review* 41 (November-December, 1963), 153-54.

specific performance targets. It will mean, finally, a gradual increase in the ability of administrators to see themselves more clearly in terms of their relationships with their subordinates, in terms of how subordinates perform in their present assignments, in terms of how they contribute to the objectives of their unit, and in terms of their influence on the total system.

Let us turn now to another and important facet of performance appraisal – how the organization goes about the matter of exercising control over the appraisal system. This is the focus of the discussion to follow.

SECTION 5

CONTROLLING THE PERFORMANCE APPRAISAL SYSTEM FOR SCHOOL ADMINISTRATIVE PERSONNEL

The performance appraisal function within any organization can be effective only if it contributes significantly to the attinament of individual and institutional aims. It is no secret that this function in many school systems is less than satisfactory. Although there are various reasons for this state of affairs, four major causes underlie many of the problems that exist:

- The absence of comprehensive support plans to guide the appraisal system.
- The overly technical, rating–oriented, document and jargon–laden plans for performance appraisal now in existence.
- The absence of plans for controlling the performance appraisal function.
- The persistent belief among educators that performance appraisal is an annual, one–shot activity restricted to rating of traits assumed to be associated with administrative behavior.

In this section we shall examine some general guidelines for maintaining and improving the performance appraisal system once it is put into operation. Exhibit 5.1 has been included to illustrate in capsule form the major elements to be considered in developing controls for performance appraisal. These elements will be employed also as major headings in the discussion which follows, to assist the reader to grasp more readily the linkage between control and performance appraisal.

Purpose of Controlling the Performance Appraisal System

Of all of the things which administrators do to improve the performance of personnel, such as planning, organizing, leading, and controlling, none is more critical than the control function. Control, as the concept is employed herein, is taken to mean the determination of how well or to what extent conditions or performance conform to plan. Inherent in the control function are three closely related elements which form the basis of the discussion which follows. These are:

- Plans – including purposes, policies, objectives, goals, programs, standards, processes, procedures.
- Checking results against plans.
- Adjusting to correct deviations from plans.

Exhibit 5.1. Relationship Between the Control Process and Performance Appraisal

Control Elements	Relation to Performance Appraisal
Purpose of Control	The central purpose of controlling the appraisal system is to improve the quality of administrative behavior within the organization. Its focus is on reducing the gap between desired and actual administrative behavior.
The Control Process	The control process consists of three interdependent elements. These are: Plans - including purposes, policies, objectives, goals, programs, standards, processes, procedures. Checking results against plans. Adjusting to correct deviations from plans.
Control Areas	The areas or elements within the organization which directly affect the operation of the appraisal system, and therefore become check points in the control process, are as follows: system and unit purposes, administrative structure, personnel, and performance appraisal procedures.
Control Measures	Both the performance appraisal *process* and the appraisal *system* are subject to the control process. With regard to the appraisal process, a critical measure is the progress administrative personnel make in achieving desired position behavior. Control measures of the appraisal system help to determine how well and to what extent the appraisal system is contributing to attainment of broad system purposes.
Control Guides	Controllable but undesirable results exist in every school system. Controls should focus upon improving the quality of administrative performance through minimizing and removing causes of undesirable behavior. Control of the administrative performance must be integrated with other personnel processes, including recruitment, selection, induction, development. Poor decisions cannot be prevented, but the control process should make it possible to detect early and to correct undesirable behavior or undesirable conditions growing out of such behavior.

In the cyclic activity of the administrative process, plans are developed and put into operation. The control function is concerned with the effects of plans and procedures in relation to the attainment of organizational purposes.

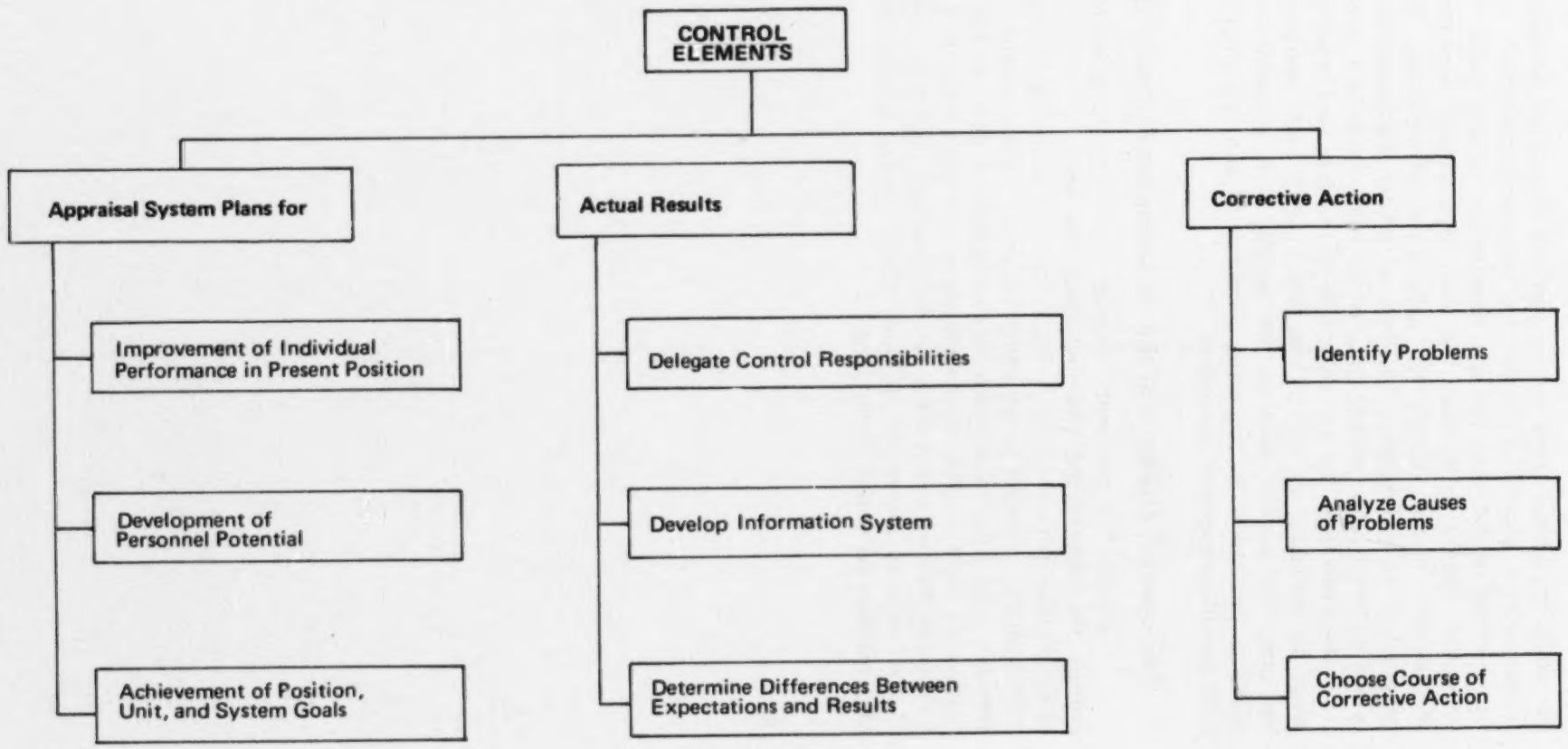
Each major component of the educational operation – plans, programs, personnel, facilities—is a means for attainment of purpose. Each has an objective subsidiary to, but essential in, realization of the broad purposes

for which the school exists. Hence, each component of the performance appraisal system should be assessed continually in terms of: (a) its operational effectiveness; and (b) its contribution to the larger aims of the enterprise. Ideally, every plan that the school system puts into operation should have built-in means for judging its effectiveness. Thus viewed, appraisal is an omnipresent function of school administration, an aspect of the administrative process designed to keep means and ends in balance. It is concerned with the extent to which and how well organizational purposes are achieved, as well as the effect which each operational activity has upon the general aims of the school. It is a useful tool in developing a framework for analyzing problems of and planning solutions for both individual and total operations.

The Control Process and the Performance Appraisal System

Exhibit 5.2 represents a model of a performance appraisal control process for maintaining and improving the appraisal system for school administrative personnel. It is based on the foregoing discussion of the three elements involved in the control process – plans, results of plans, and remedial action to make performance conform to plan. In the text which follows we shall employ the model shown in Exhibit 5.2 as a conceptual framework around which ideas can be developed about the characteristics of and ways to utilize the elements of the control process for improving administrative personnel performance.

Exhibit 5.2. Model of Performance Appraisal Control Process for Maintaining and Improving Performance Appraisal System for School Administrative Personnel



First Step in Control Process:
Establishing Performance Expectation

One of the facts of organizational life is that determination must be made constantly of the validity, value, or suitability of plans which have been put into effect to achieve system, unit, position, and individual goals. The organization wants to know, for example, if the performance appraisal system for administrative personnel is actually bringing about an improvement in administrative behavior and in the organizational results which derive from such behavior. The position holder also wants to know if he is performing according to plan.

As emphasized in Section 3, every school system ought to have a series of plans which comprise the performance appraisal system. In short, the school system should have plans which specify both what the system wants to have happen with respect to performance appraisal and what results it expects to accomplish as a result of the family of plans comprising the appraisal *system.*

Without expectations, desired results, or planned outcomes, the chances of an organization's getting the kind of performance it wants from its administrators are relatively remote. The concept of control is aimed at achieving results through planning, action, and remedial action. Consequently, it is worth noting once again that *the kinds of results that are desired in terms of administrative performance are identified in advance through various types of plans.* For example, the appraisal *system* consists of a family of plans, including purposes, policies, goals, processes, and programs, each of which focuses upon clarifying the results the organization wants to achieve and how it plans to go about getting them. The appraisal *process* systematizes plans for judging the performance of each administrator in the system. The position guide indicates to the position holder what he is expected to do and the performance standards on which he will be judged. All of these plans are linked to the hypothesis that if the performance of administrators is to be appraised effectively, the nature and scope of the administrative position in the school system must be clarified so that: (a) the subordinate understands what he is expected to accomplish; and (b) the superior knows what factors are relevant in appraising the effectiveness with which the assignment is carried out. This is another way of saying that it is difficult to tell whether one has arrived at a destination without knowing where one is supposed to go.

Second Step in Control Process:
Checking Results Against Plans

Let us continue with a further examination of the concept that in every performance appraisal system there are three sets of correlative and equal responsibilities: (a) establishing performance expectations; (b) checking to determine how performance conforms to plan; and (c) taking remedial action. The model illustrated in Exhibit 5.2 indicates that the second step in the control process, determining the results of plans, involves: (a) delegation of responsibilities for checking results; (b) development of an information system; and (c) utilizing the information to determine differences between expectations and results.

Delegation of Responsibility. Within the administrative hierarchy various responsibilities will be delegated to members of the staff for planning, organizing, leading, and controlling the performance appraisal system. While it is true that every administrator has responsibility for contributing information about the extent to which the performance appraisal system is achieving intended results, the major responsibility will fall upon line administrators. This is to say that administrators in line positions responsible for making judgments about the performance of subordinates are in the most advantageous position to determine the effectiveness of the appraisal system. The continuous relationship of superior over subordinate is such that not only is the former responsible for implementing the appraisal process; he is the only person in a lasting relationship with subordinates throughout the process. It is the line administrator, then, upon whom the organization must depend heavily for reliable information about the appraisal process, support plans for the appraisal system, and the purposes for which they have been established.

The Information System and Performance Appraisal. If the school organization is to exercise effective control of the performance appraisal system it must devise ways of getting two types of information on the results of the family of plans which have put into effect. These are:

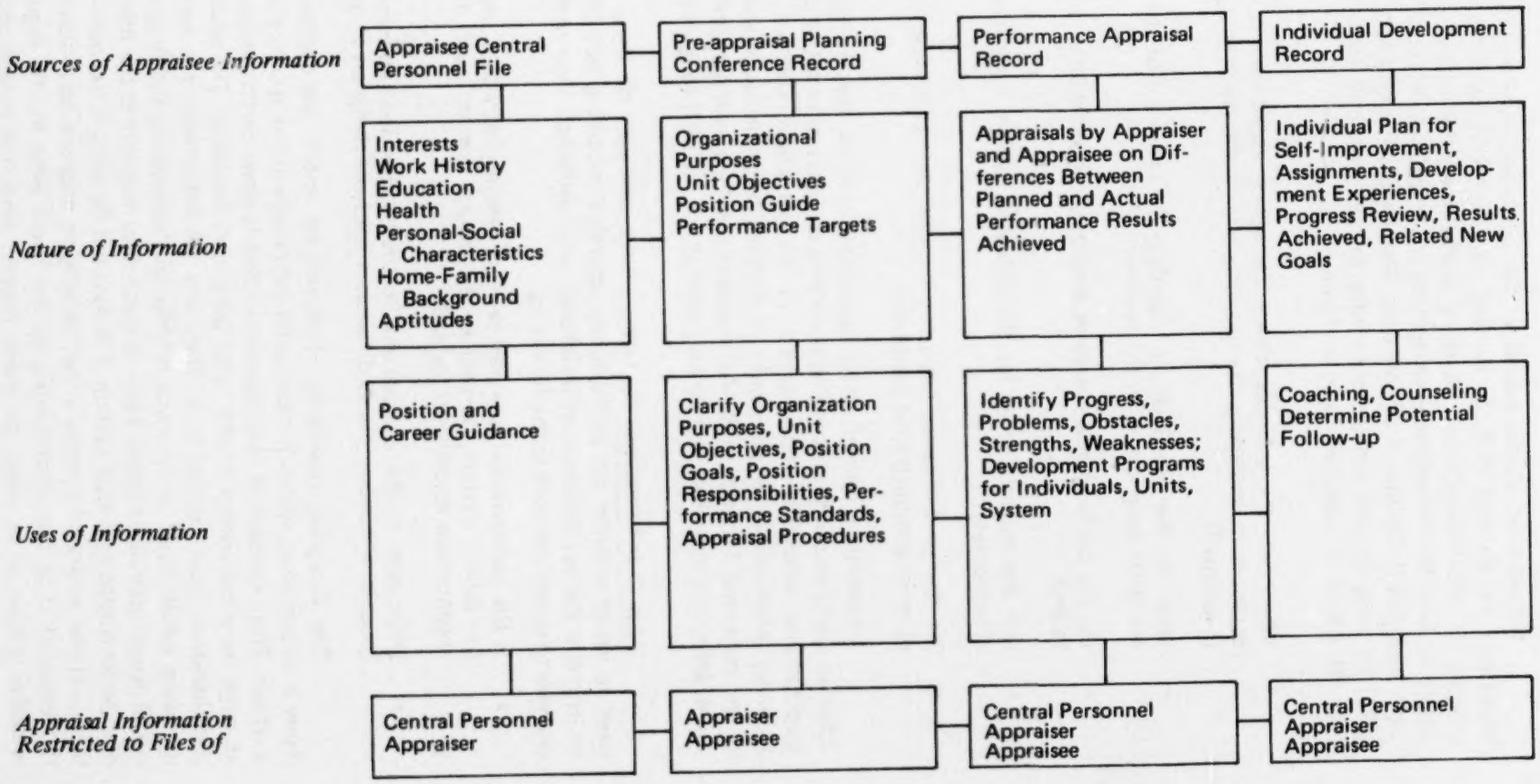
Type 1. Information about the operational effectiveness of the performance appraisal *process.*

Type 2. Information about the contribution of the performance appraisal *system* to unit objectives and broad purposes for which the organization exists.

Both types of information mentioned above may be thought of as components of the total information system of the school district, which consists of a planned network of forms, reports, audits, and records.

Type 1 Information. Exhibit 5.3 illustrates an information structure for securing Type 1 information, *i.e.,* information to maintain and improve the performance appraisal *process.* Examination of the conceptual model illustrated in Exhibit 5.3 indicates that a wide variety of information is needed by the appraiser on every subordinate for whom he is responsible. The assumption on which this type of information structure is based is that helping individuals to improve their performance involves collecting, processing, storing, retrieving, and utilizing various sources of personnel data.

Exhibit 5.3. Information Structure to Maintain and Improve Performance Appraisal Process for Administrative Personnel


Sources of Appraisee Information
Nature of Information
Uses of Information
Appraisal Information Restricted to Files of
Appraisee Central Personnel File
Pre-appraisal Planning Conference Record
Performance Appraisal Record
Individual Development Record
Interests
Work History
Education
Health
Personal-Social Characteristics
Home-Family Background
Aptitudes
Organizational Purposes
Unit Objectives
Position Guide
Performance Targets
Appraisals by Appraiser and Appraisee on Differences Between Planned and Actual Performance Results Achieved
Individual Plan for Self-Improvement, Assignments, Development Experiences, Progress Review, Results Achieved, Related New Goals
Position and Career Guidance
Clarify Organization Purposes, Unit Objectives, Position Goals, Position Responsibilities, Performance Standards, Appraisal Procedures
Identify Progress, Problems, Obstacles, Strengths, Weaknesses; Development Programs for Individuals, Units, System
Coaching, Counseling Determine Potential Follow-up
Central Personnel Appraiser
Appraiser Appraisee
Central Personnel Appraiser Appraisee
Central Personnel Appraiser Appraisee

Information on the results of the performance appraisal process, as illustrated in Exhibit 5.3, is derived largely from records and reports relating to the pre-appraisal planning conference, the actual performance appraisal, and the individual development record, illustrations of which have been included in Section 4 of this text. The kinds of information on results that the organization needs concerning the *performance appraisal process* may be stated in question form as follows:

- What data are available about the actual improvement of the subordinate in achieving the expectations of the position to which he is assigned?
- What do the data indicate regarding the potential of the individual for other assignments in the system?
- Do the performance measures employed do what they are intended to do?
- Are the support plans for the appraisal system contributing to its effectiveness?
- Do the performance measures indicate desired changes are taking place in administrative behavior?

Information derived from questions such as the foregoing as to whether performance is proceeding according to plan have various operational implications, especially with respect to the personnel function. The link between information on the results of individual performance and activities of the personnel function such as manpower planning, compensation, recruitment, selection, appraisal, and development is not difficult to establish.

Type 2 Information. As noted above, not only do those in charge need to know whether the performance appraisal process is actually helping to improve the performance of individual administrators; they need to have answers to questions such as the following:

- Is the performance appraisal process helping individual units within the school system, as well as the school system itself, to achieve expectations established for each?
- Does each of the components in the performance appraisal system (people, processes, plans) do what it has been designed to do?

The foregoing questions, it should be noted, are concerned with Type 2 information, which focuses upon the results of the appraisal system as a whole. This approach is macroscopic in that it views performance appraisal at large, as a subsystem of the total personnel function. The results under consideration here, difficult as they are to determine, are essential to decisions which need to be made relative to maintaining and improving the performance appraisal system. There is absolutely no point in the maintenance of a performance appraisal system if it does not do what it has been designed to do. If the appraisal system is not helping to improve administrative performance, if it is not contributing to the larger aims of the organization, remedial action is in order to make happen what the organization wants to happen.

What are the ways organizations collect Type 2 information? Control reports, of course, are one means of securing information about the validity of the appraisal system. By control reports is meant the formal communication of facts and observations by unit administrators about the impact of the appraisal system on the performance of subordinates, as well as on the strengths and weaknesses of elements comprising the appraisal system. In addition, there are other methods of getting information about the results of the appraisal system. Informal questioning of appraisers about the adequacy and impact of the appraisal system is a useful approach. Scheduling oral reports is a method designed to sensitize reporting personnel to consider in advance ways of checking results or to consider clues indicative of results of the performance appraisal system.

The observation has often been made by practitioners that problems are made known, not by their conspicuous presence, but by the way in which they impede other activities. For example, continually unsatisfactory achievement test results in an elementary school may be related in part to the failure of the performance system to detect or to take appropriate action on the inadequacy of the leadership of this unit. Probing such failures may provide warning signals about the appraisal system if the superintendency is attuned to them. Close personal contact between the superintendent and his staff is also an essential element in assessing performance results. Reports to executives are useful, but cannot replace personal observations and contacts with personnel for whom the appraisal system is designed. Reports do not give executives the information generated by personal contact, especially when they need to know how personnel feel about the appraisal system and whether or not it is contributing to the improvement of their performance.

Third Step in Control Process:
Adjusting To Correct Deviations from Plans

Now let us consider what the chief executive and his staff do with the results which they have collected about the effectiveness of the performance appraisal system. Clearly, the results must be assessed and communicated to administrative personnel within the system so that action will be taken to close the gap between plans and performance. Actually, the plans–performance gap will never be fully closed, because organizations realize that perfection in human undertakings is an improbable condition.

The kinds of conditions which develop in an organization leading to deviations between plans and performance are numerous and varied. For example:

- Plans for appraising performance may be so complicated that they defeat the purpose for which they were intended.
- Appraisers may not engage in the proper kind of preparation needed for an appraisal interview.
- Appraisers may not have the skills to interpret properly the information derived from an appraisal interview.
- The stress of the appraisal interview may be on what the appraisee did wrong rather than on how to improve his performance.

- Neither superior nor subordinate may fully understand the purpose of the latter's position.
- Performance targets may be so ambiguous as to render them unattainable.
- The superior may not know how to determine the results of a subordinate's efforts.
- The subordinate may not be permitted to participate in goal setting.
- Superiors may not be capable of helping subordinates to develop realistic programs for improving their performance.
- Overall improvement of administrative performance may not be visible.

The foregoing hypothetical difficulties in a performance appraisal control system may be thought of as actual conditions or results.

Corrective action properly begins with identifying the reasons for the differences or deviations between actual and planned performance. It should be noted here that school systems should anticipate gaps between what is desired and what actually happens in the performance appraisal process. Many plans in the appraisal system are based on premises or hunches about the way the operation should proceed. It is only through experimentation that the merit of plans can be tested. The causes of deviations from plans may be attributable to both human and non-human problems. The appraisers may need considerably more education about their roles. The plans which have been developed and the procedures to be employed may be faulty. Once the sources of difficulty have been identified, corrective adjustment follows. If the problems are of the human variety, continuing education programs may be necessary to assist administrators to acquire the necessary information, motivation, skills, and techniques to become competent in performance appraisal. There is also the possibility that administrative personnel unable to cope with problems in performance appraisal may have to be transferred to work more in keeping with their abilities.

In summary, the control concept is based upon the assumption that things will go wrong; that some administrators will not adhere to organizational plans for performance appraisal; that some are incapable of carrying them out. Remedial action is designed to keep both the organization and its personnel on course. It involves using information from individual performance appraisal to decide what is needed to make the performance better. In a few cases it will involve compulsion, *i.e.,* forcing people to adhere to organizational plans. Chaos would reign supreme if every administrator were given the option of deciding the performance appraisal plans which he will employ.

The value of getting information about malfunctioning or dysfunctioning of the performance appraisal system is that it enables school systems to make corrections immediately. No plan fails or succeeds instantly in the realm of education. A good control system helps to head off trouble before it becomes serious and makes it possible to modify plans so that ultimately they will become effective.

Control Areas in the Performance Appraisal System

One of the realities of a performance appraisal system is that its creation, development, and modification spans a period of several years. Another reality is that there are key areas in performance appraisal which must be assessed continuously in terms of plans and the elements in these areas that facilitate or hinder attainment of plans. In effect, the purpose of examining control areas in performance appraisal is to focus attention on those strategic points in the performance appraisal system which must be constantly reviewed because of the interdependence of the total system with each of these vital parts or areas.

System and Unit Purposes

The kind of performance appraisal system we have been advocating throughout this text is one whose foundation rests squarely on the purposes of the institution and the derivative objectives for each of the units comprising the organization. Consequently, the control process should take into consideration how carefully organizational purposes,unit objectives, and position goals have been defined and how clearly they are understood by the personnel responsible for their implementation.

Administrative Structure

Equally important to the success of a performance appraisal system for administrative personnel is a clearly defined and operationally sound administrative structure, for the linkage between structure and performance is one of close interdependence. A well-planned performance appraisal process is worthless if the structure frustrates its application. For example, if all principals in a school system report to the superintendent of schools who, for understandable reasons, does not have the time to establish the superior-subordinate role so essential in the performance appraisal process, of what use is the process?

Personnel

Since the essence of an organization is the behavior of people, a control system must assess the performance of people in relation to the expectations which the organization has for them in terms of position behavior. The control system is designed on the one hand, to assist personnel to acquire and maintain desirable position behavior. On the other hand, it seeks to protect personnel from inequities, unfairness, or negative impacts which the performance appraisal process may generate.

Procedures

The greatest single source of difficulty in a performance appraisal system, and perhaps the one area which generates more organizational conflict than any other, is the procedures employed to measure the effectiveness of people. It is well known that people are as willing to fight about the method of determining their organizational worth as they are about the amount they are actually paid for their work. Consequently, the control process for performance appraisal needs to check constantly, not only the operational worth of all procedures, but the impact which such procedures have on the positive motivation of people. Procedures may be obsolescent,

unnecessarily complex, inapplicable, and even irrelevant. Thus, there are many reasons why the control process needs to review periodically the validity of the procedures used in performance appraisal.

Control Measures for the Performance Appraisal System

Two of the basic areas to be reviewed in the performance appraisal system are: (a) the effectiveness of the performance appraisal *process;* and; (b) the overall effectiveness of the appraisal *system.* The controls relating to the performance appraisal process are *partial* controls, since they are aimed at an operational facet of the entire organization. Controls concerning the overall effectiveness of the appraisal system are those designed to test how well and to what extent the system contributes to the realization of unit and system purposes and objectives. In each instance, the questions about effectiveness of the process or the system depend upon the performance measures employed and the information which they yield.

Measures of the Performance Appraisal Process

The strategic control point in the appraisal process is the progress administrative personnel make in achieving desired position behavior. The control-directed questions which need asking about changes in administrative behavior go something like this: Are the administrators in our school system making progress toward the levels of behavior which we have established with them? Do the administrators understand what they are expected to accomplish? Do the superior and subordinate identify which performance measures will best reflect the goals of their assignment? Have superior and subordinate explored performance measures as indicators which show them when objectives are not being met? Do administrators understand what information to collect on the behavior of subordinates and how to use it in helping them to improve their performance? What is the quality of decisions made by an administrator; Do the decisions the administrators make generally yield desirable results?

There are, of course, many different kinds of performance indicators, both tangible and intangible. One of the functions of the system with regard to controlling the performance appraisal process is to devise and test continuously indicators of the quality of the performance of its administrators.

Measures of the Performance Appraisal System

One of the essential acts of management is to assess how well each of the organizational components contributes to the broad purposes of the system. The "desired results" which have been referred to earlier for the system as a whole are the broad system purposes (Section 3). These are the results that are intangible, difficult to measure, but the essence of the enterprise. For example, everybody inside and outside of the school system is constantly raising questions about the total educative task, such as:

- Are children acquiring essential intellectual skills?
- Are they learning to care for their bodies?

- Are they learning to make decisions?
- Are they acquiring a desire for knowledge?
- Are they becoming socially competent?

At first glance, the foregoing questions appear to have little or no relationship to the performance appraisal of administrative personnel. But they embody the real purposes to which performance appraisal is designed to contribute. Therefore, the control process needs to take into consideration whether or not the performance appraisal system is really helping the school to help children to acquire the skills, habits, values, attitudes, knowledge, and understandings which represent the broad purposes for the school's existence. In a way, both the appraisal system and the school system have the same aim – changing the behavior of people.

Control Guides for the Performance Appraisal System

In this chapter we have attempted to outline several ideas underlying the control process in educational administration and its application to the appraisal of administrative performance. In the concluding paragraphs certain guides are advanced which appear to be useful in employing the control process to improve the quality of administrative behavior in school systems.

The control process is designed to maximize organizational effectiveness.

Controllable but undesirable results exist in every organization. The systems approach to organizations indicates that the causes of undesirable results in an organization are multiple and usually not traceable to one individual, however sweeping and effective the control process. Consequently, controls should not be designed primarily to detect the single individual responsible for undesired results. Rather, the process should aim at minimizing and removing the causes of controllable but undesirable results through improving the quality of managerial performance.

The control process stresses staff development

The control process is not able to overcome the impact of recruitment and selection processes which populate the school system with incompetent administrators. While it should not be assumed that feedback from the control process should never be used to eliminate administrative behavior of low quality, the stress of controls should be on improving the future behavior of personnel in leadership roles.

The control process is integrated with other personnel processes

The control process, in order to be effective, must be integrated with other personnel processes such as recruitment, selection, induction, and development. The control process can detect gaps between present and desired administrative behavior, but in order for every leader to become organizationally effective he must not only acquire the skills essential to his position role; he needs to understand the unit and organizational missions of which he is a part, the organization's climate and culture, and the relationship of his behavior to these factors. Training programs will eliminate the

necessity for the individual administrator to reach this level of behavior by his own devices.

The control process permeates all units and levels of the organization structure

The control function is an inherent responsibility of every administrative position in the organization structure. Every superior who has subordinates reporting to him is responsible for applying the control process to the activities assigned to these positions.

The control process is designed to facilitate prompt corrective action

One of the strategies of the control process is early detection of symptoms of undesirable conditions. Poor decisions cannot be prevented, but the control process, when properly designed, should make it possible to detect early and to correct undesirable administrative behavior or undesirable organizational conditions growing out of such behavior.

SECTION 6

SELECTED REFERENCES

Barro, Stephen M. "An Approach to Developing Accountability Measures for the Public Schools." *Phi Delta Kappan*, Vol. 52, No. 4 (December, 1970), 196-205.

Bassett, Glen A., and Harvard Y. Weatherbee. *Personnel Systems and Data Management.* New York: American Management Association, 1971.

Beach, Dale S. *Personnel: The Management of People at Work.* 2nd edition. New York: The Macmillan Company, 1970.

Blake, Robert R., and Jane Syrgley Mouton. *Corporate Excellence Diagnosis.* Austin, Texas: Scientific Methods, Inc., 1968.

Blumberg, Arthur. "Supervisor - Teacher Relationships: A Tool at the Supervisory Conference." *Administrator's Notebook*, Vol. 19, No. 1 (September, 1970), 1-4.

Burton, John. "Management Auditing." *The Journal of Accountancy*, Vol. 125, No. 5 (May, 1968), 41-46.

Campfield, William L. "Auditing Management Performance." *Financial Executive*, (January, 1971), 24ff.

Castetter, William B. *The Personnel Function in Educational Administration.* New York: The Macmillan Company, 1971.

Coleman, B. P. "An Integrated System for Manpower Planning." *Business Horizons*, Vol. 13, No. 5 (October, 1970), 89-95.

Coleman, Charles J. "Avoiding the Pitfalls in Results-Oriented Appraisals," *Personnel*, Vol. 42, No. 6 (November-December, 1965), 24-33.

Dawson, Robert I. and Dorothy P. Carew. "Why Do Control Systems Fall Apart?" *Personnel*, Vol. 46, No. 3 (May-June, 1969), 8-16.

Desatnick, Robert L. *A Concise Guide to Management Development.* New York: American Management Association, 1970.

Farnsworth, Terry. "Planning a Manager's Development." *Management Review*, Vol. 59, No. 2 (February, 1970), 54-59.

Feinberg, Mortimer R., and John J. Tarrant. "Dealing with Subordinate Personnel Problems," *Management Review*, Vol. 59, No. 6 (June, 1970), 52-55.

Fitzgerald, Thomas H. "Why Motivation Theory Doesn't Work." *Harvard Business Review*, Vol. 49, No. 4 (July-August, 1971), 37-44.

French, Wendell. *The Personnel Management Process.* Boston: Houghton-Mifflin Company, 1970.

Hanan, Mack. "Make Way for the New Organization Man." *Harvard Business Review*, Vol. 49, No. 4 (July-August, 1971), 128-138.

Hersey, Paul and Kenneth H. Blanchard. *Management of Organizational Behavior: Utilizing Human Resources.* Englewood Cliffs, N. J.: Prentice-Hall, Inc., 1969.

House, R. J. *Management Development.* Ann Arbor: Bureau of Industrial Relations, University of Michigan, 1967.

Howell, Robert A. "Managing by Objectives—A Three Stage System." *Business Horizons*, Vol. 12, No. 1 (February 9, 1970), 41-45.

Hughes, Charles L. *Goal Setting.* New York: American Management Association, 1965.

Judson, Arnold S. *A Manager's Guide to Making Changes.* New York: John Wiley and Sons, Inc., 1968.

Kellogg, Marion S. *What to do About Performance Appraisal.* New York: American Management Association, 1965.

Kindall, Alva F. *Personnel Administration.* 3rd edition. Homewood, Ill.: Richard D. Irwin, Inc., 1969.

Kuhn, David G., John W. Slocum Jr., and Richard B. Chase. "Does Job Performance Affect Employee Satisfaction?" *Personnel Journal,* Vol. 50, No. 6 (June, 1971), 455-459ff.

Lieberman, Myron. "An Overview of Accountability." *Phi Delta Kappan,* Vol. 52, No. 4 (December, 1970), 194-195.

Likert, Rensis. "Motivational Approach to Management Development." *Harvard Business Review,* Vol. 37, No. 4 (July-August, 1959), 75-82.

Lopez, Felix M., Jr. *Evaluating Employee Performance.* Chicago, Ill.: Public Personnel Association, 1968.

Lopez, Felix M. *The Making of a Manager: Guidelines to His Selection and Promotion.* New York: American Management Association, 1970.

Lovin, Bill C., and Emery Reber Casstevens. *Coaching, Learning, and Action.* New York: American Management Association, 1971.

McConkey, Dale D. *How to Manage by Results.* New York: American Management Association, 1965.

McFarland, Dalton E. *Personnel Management.* New York: The Macmillan Company, 1968.

McGregor, Douglas. "An Uneasy Look at Performance Appraisal." *Harvard Business Review,* Vol. 35, No. 3 (May-June, 1957), 89-94.

McLure, William P., and Audra May Pence. *Early Childhood and Basic Elementary and Secondary Education.* Urbana, Ill.: Bureau of Educational Research, College of Education. National Educational Finance Project, Special Study No. 1, 1970.

Maier, Norman R. *Psychology in Industry.* 3rd edition. Boston: Houghton-Mifflin Company, 1965.

Maslow, A. H. *Motivation and Personality.* 2nd edition. New York: Harper & Row, 1970.

Masterson, Thomas R., and Thomas G. Mara. *Motivating the Underperformer.* AMA Management Bulletin No. 130. New York: American Management Association, 1969.

Miner, John B. *Personnel and Industrial Relations.* New York: The Macmillan Company, 1969.

Mockler, Robert J. "Situational Theory of Management." *Harvard Business Review,* Vol. 49, No. 3 (May-June, 1971), 146-154.

Myers, M. Scott. "Overcoming Union Opposition to Job Enrichment." *Harvard Business Review,* Vol. 49, No. 3 (May-June, 1971), 37-49.

National Industrial Conference Board. *Managing by - and with - Objectives.* New York: National Industrial Conference Board, 1968.

Newman, William H., Charles E. Summer, and E. Kirby Warren. *The Process of Management.* 2nd edition. Englewood Cliffs, N. J.: Prentice-Hall, Inc., 1967.

Odiorne, George S. *Training by Objectives.* New York: The Macmillan Company, 1970.

Pigors, Paul, and C. A. Myers. *Personnel Administration.* 6th edition. New York: McGraw-Hill Book Company, 1969

Porter, Lyman W., and Edward E. Lawler, III. *Managerial Attitudes and Performance.* Homewood, Ill.: Richard D. Irwin, Inc., 1968.

Redfern, George. "Evaluating Administrative Productivity: Can it be Done?" *The School Administrator* (July, 1971), 15-16.

Rowland, Virgil K. *Evaluating and Improving Managerial Performance.* New York: McGraw-Hill Book Company, 1970.

Schein, Edgar H. *Organizational Psychology.* Englewood Cliffs, N. J.: Prentice-Hall, Inc., 1965.

Steinmetz, Lawrence L. "The Unsatisfactory Performer: Salvage or Discharge?" *Personnel,* Vol. 45, No. 3 (May-June, 1968), 46-54.

Thompson, Paul H. and Gene W. Dalton. "Performance Appraisal: Managers Beware." *Harvard Business Review,* Vol. 48 (January-February, 1970), 149-158.

U. S. Department of Health, Education, and Welfare. *Do Teachers Make A Difference?* Washington: U. S. Government Printing Office, 1970.

Von Fleet, James K. *Guide to Managing People.* Englewood Cliffs, N. J.: Prentice-Hall, Inc., 1968.

Weatherbee, Harvard Y. "Steering Marginal Performers to Solid Ground." *Personnel,* Vol. 46, No. 4 (July-August, 1969), 34-43.

Whisler, Thomas L. and Shirley F. Harper, eds. *Performance Appraisal.* Harper and Row, Publishers, 1962.

Whisler, T. L., and Shirley F. Harper, eds. *Performance Appraisal, Research and Practice.* New York: Holt, Rinehart and Winston, 1965.

White, B. Frank, and Louis B. Barnes. "Power Networks in the Appraisal Process." *Harvard Business Review,* Vol. 49, No. 3 (May-June, 1971), 101-109.

Yoder, Dale. *Personnel Management and Industrial Relations.* 6th edition. Englewood Cliffs, N. J.: Prentice-Hall, Inc., 1970.

Zeitlein, Lawrence R. "How to Conduct an Effective Performance Review." *Management Review,* Vol. 70 (March, 1970), 44-47.